



**US Army Corps  
of Engineers.**

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# ARCHITECT-ENGINEER CONTRACTING IN USACE



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Procurement  
ARCHITECT-ENGINEER CONTRACTING IN USACE

1. Purpose.

a. This pamphlet provides guidance and procedures for contracting for architect-engineer (A-E) services in accordance with the Brooks Architect-Engineer Act and the acquisition regulations referenced below. The guidance and procedures in this pamphlet promote fair, efficient and consistent A-E contracting practices throughout the U.S. Army Corps of Engineers (USACE).

b. Compliance with this pamphlet is required by Engineer Federal Acquisition Regulation Supplement (UAI/EFARS) 36.601-3 (S-101) and its successor policies. Adherence to the guidance and procedures in this EP will help ensure compliance with the acquisition regulations, and any variations from the guidance and procedures in this EP must be documented in the contract file (provided the variations do not violate the acquisition regulations).

c. This pamphlet provides A-E contracting guidance and procedures for implementing key portions of the overall acquisition regulations. However, this EP is not intended to cover all aspects of the A-E contracting process and should not be used as a substitute for the current acquisition regulations (the FAR system) which provide procurement policy. If a conflict arises between this pamphlet and the acquisition regulations, the acquisition regulations govern.

2. Applicability. This pamphlet applies to all USACE commands authorized to procure A-E services, and to all USACE programs.

3. Distribution Statement. Approved for public release. Distribution is unlimited.

4. References.

a. Brooks Architect-Engineer Act; Public Law 92-582, as amended; 40 United States Code (U.S.C.) 1101-1104 (Appendix A).

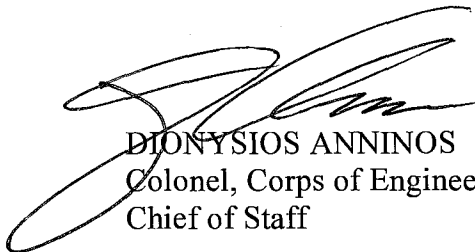
b. Federal Acquisition Regulation (FAR), and the Defense (DFARS), Army (AFARS) and Corps of Engineers (EFARS) supplements.

c. Army Regulation (AR) 25-55, the Department of the Army Freedom of Information Act Program.

- d. AR 215-4, Nonappropriated Fund Contracting.
  - e. Engineer Regulation (ER) 5-1-11, U.S. Army Corps of Engineers Business Process.
  - f. ER 1105-2-100, Planning Guidance Notebook.
  - g. ER 1110-1-12, Engineering and Design Quality Management.
  - h. ER 1110-1-8152, Professional Registration.
  - i. ER 1180-1-9, Design-Build Contracting.
  - j. Engineer Pamphlet (EP) 715-1-4, Architect-Engineer Contracts: Competing for Architect-Engineer Contracts Awarded by the US Army Corps of Engineers.
  - k. Engineer Manual (EM) 1110-1-1000, Photogrammetric Mapping.
5. Acronyms. Appendix B contains a list of acronyms used in this pamphlet.
6. This version is a reissuance of EP 715-1-7 and supercedes previous version dated 22 May 2007.

FOR THE COMMANDER:

32 Appendices  
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DIONYSIOS ANNINOS  
Colonel, Corps of Engineers  
Chief of Staff

Procurement  
ARCHITECT-ENGINEER CONTRACTING IN USACE

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## CHAPTER 1

### Introduction

1-1. Scope. This pamphlet is generally applicable to all types of A-E contracts. However, certain aspects of Chapter 4 on price negotiation and Chapter 5 on contract administration are not relevant to cost-reimbursement (CR) contracts. See FAR 15.4, 16.3, 16.4, 31, 32, and 42 for specific guidance on CR contracts.

1-2. Background. The Brooks A-E Act (Appendix A) defines A-E services and specifies the Federal policy for procuring A-E services. The Brooks A-E Act requires the public announcement of requirements for A-E services, selection of the most highly qualified firms based on demonstrated competence and professional qualifications, and the negotiation of a fair and reasonable price. FAR Part 36, and its related supplements, implement the Brooks A-E Act.

1-3. Responsibilities.

a. Commanders are responsible to regularly evaluate the A-E contracting process in their command to ensure it is efficient and effective. Appendices C, D, and E are checklists that may be used for this purpose.

b. The National Contracting Organization (NCO), Director of Contracting, is comprised of three distinct segments. These include:

(1) Director of Contracting (DOC) (CECT-Z) is a headquarters element engaged in policy development, program evaluation, and acquisition workforce development;

(2) Three Principal Assistants Responsible for Contracting (PARCs) located at Atlanta (CECT-ATL), Dallas (CECT-DAL), and Winchester (CECT-WIN) provide the acquisition technical oversight and approval of acquisition matters; and

(3) Nine permanent Regional Contracting Chiefs located at the MSCs and ERDC, are responsible for overseeing the District and Center contracting services and leveraging contract support regionally.

c. The Engineering and Construction Community of Practice, Directorate of Civil Works, HQUSACE (CECW-CE):

(1) Is responsible for USACE technical guidance and procedures for A-E contracting, including maintenance of this pamphlet. The Engineering and Construction Community of Practice, in coordination with the DOC and other HQUSACE elements, will identify and implement regulatory and procedural changes to improve the A-E contracting process throughout USACE.

(2) Supports the DOC and PARCs in monitoring the compliance of USACE commands with A-E procurement regulations and this pamphlet through staff assistance visits, automated and special reports, informal coordination, conferences, and other appropriate methods.

(3) Is the proponent for the Architect-Engineer Contract Administration Support System (ACASS) and is responsible for ACASS policy and general management oversight. The Engineering and Construction Community of Practice is also the principal interface with other Federal agencies on ACASS.

d. The Contracting Division, Portland District (CENWP-CT) is responsible for management of ACASS in accordance with HQUSACE policy and direction. CENWP-CT will issue instructions on ACASS and respond to inquiries from users and A-E firms.

e. The United States Navy (NSLC DET Portsmouth, NH) operates and maintains the Contractor Performance Assessment Reporting System (CPARS) and the ACASS sub-component. CENWP-CT is also the point of contact for users experiencing technical difficulties with the ACASS system.

#### 1-4. Training.

a. The following courses provide valuable training on A-E contracting.

(1) “Architect-Engineer Contracting”, USACE Proponent Sponsored Engineer Corps Training (PROSPECT) Course Number 004.

(2) “CE Contract Law”, USACE Proponent Sponsored Engineer Corps Training (PROSPECT) Course Number 342.

b. The following courses provide valuable training regarding functional use of the ACASS system.

(1) “ACASS / CCASS Overview” and ACASS/CCASS User Manual, CPARS web site. <https://www.cpars.csd.disa.mil/acassmain.htm>

(2) “Focal Point Functions”, CPARS web site.

(3) “Contractor Overview”

1-5. Internet Addresses. Appendix F is a list of useful Internet addresses pertinent to A-E contracting, and contracting in general.

## CHAPTER 2

### Acquisition Planning

#### 2-1. Principles.

a. Proposed contracts for A-E services will be structured to maximize competition, provide contract opportunities for many firms, and maximize small business (SB) and small disadvantaged business (SDB) participation, while satisfying the needs of the Government in the most effective, economical, and timely manner.

b. Acquisition planning for A-E services will be accomplished by the project delivery team (PDT) under the leadership of the project manager (PM), and will include team members from engineering, construction, contracting, counsel and other appropriate personnel, as well as the Deputy for Small Business (DSB).

#### 2-2. Responsibilities.

a. General. The Deputy District Engineer for Program and Project Management (DPM), the Chief of Engineering<sup>1</sup>, the Chief of Contracting, the Deputy for Small Business, and the chiefs of other functional elements as appropriate, in each operating command (center, district or laboratory) having A-E contracting authority are responsible for acquisition planning for A-E services.

b. Time Standards. Responsive acquisition services are vital to mission accomplishment and Commanders should regularly review the A-E contracting process in their command to ensure that A-E contracts and task orders (issued under indefinite-delivery contracts (IDCs)) are procured in accordance with the time standards in paragraph 2-11 to the maximum extent possible.

#### 2-3. Definition of A-E Services.

a. General. A-E services are defined in FAR 36.102 and 36.601-4. Appendix G of this EP provides guidance to assist the contracting officer (KO) in determining if a particular contract should be procured as A-E services in accordance with FAR Subpart 36.6. Appendix H of this EP provides further guidance on which types of environmental services should typically be procured as A-E services. Appendix I provide specific guidance on the procurement of surveying, mapping and geospatial services.

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<sup>1</sup> Engineering Division and Chief of Engineering (or Chief, Engineering Division) is used generically in this EP to refer to the division and its chief responsible for the engineering function at a district or center. This use also applies to references to the Construction Division and Chief of Construction (or Chief, Construction Division).

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b. **Design-Build.** A design-build contract is procured as a construction contract in accordance with FAR Part 36, and not as an A-E contract, since the A-E services are not the principal part of a design-build contract. If an A-E firm is used to prepare a Request for Proposal for a specific design-build contract, then the A-E firm will typically be ineligible for participation in the design-build contract due to the conflict of interest and unfair competitive advantage (FAR Subpart 9.5) of the A-E firm preparing the RFP.

2-4. North American Industry Classification System (NAICS). The NAICS classifies various businesses and industries. The Small Business Administration (SBA) establishes a small business size standard for each NAICS code. Work principally defined by the following NAICS are typically procured as A-E services.

Industry	NAICS Code	Current Small Business Size Standard
Architectural Services	541310	\$4.5 M
Landscape Architectural Services	541320	\$7.0 M
Engineering Services (procured under Brooks A-E Act)	541330	\$4.5 M
Geophysical Surveying and Mapping Services	541360	\$4.5 M
Surveying and Mapping (except Geophysical) Services, and Mapmaking	541370	\$4.5 M
Interior Design Services	541410	\$7.0 M
Environmental Consulting Services (except Environmental Engineering Services under 541330)	541620	\$7.0 M

2-5. General Considerations. See FAR Part 7 and the related supplements for general requirements for acquisition planning, and FAR 16.5 for specific requirements for indefinite delivery contracts. Effective acquisition planning (informal or formal) will determine the nature, type, scope and number of contracts required for a project program, or organization, including contracts for A-E services. Acquisition planning will consider the nature, complexity and dollar value of the anticipated work; schedule and urgency; budget and funding stream; industry capabilities; and small business opportunities. Unrelated or dissimilar work shall not be bundled in the same contract.

2-6. Small Business Considerations. See Appendix J for a discussion of the small business considerations for A-E contracts. As required by UAI/EFARS 19.201(c)(9)(B), each proposed synopsis for A-E services shall be coordinated with the Deputy for Small Business (DSB). The DSB will review the acquisition for possible set-aside for SB, Service-disabled Veteran-owned Small Business (SDVOSB), Historically Underutilized Business Zone (HUBZone) SB, the SBA 8a Program, or Woman-Owned Small Business (WOSB) in accordance with current laws and regulations. The DSB will document the review using DD Form 2579. If an A-E contract is not set-aside, it will still be structured to maximize opportunities for SB concerns.

For example: unrelated requirements will not be unnecessarily consolidated or bundled into one contract; the scope and geographic area of an indefinite delivery contract will not be unduly broad; the monetary limits of an indefinite delivery contract will be set at the lowest reasonable levels consistent with effective, efficient operations; and unjustified, overly restrictive technical requirements will not be included.

2-7. Acquisition Planning and Acquisition Strategy for A-E Contracts.

a. Appropriate acquisition planning must be performed and documented in the annual District/Center-wide A-E acquisition plan, and as appropriate, an individual acquisition plan for each A-E contract as required by UAI/EFARS Part 7.102. Since USACE no longer limits the size of A-E Indefinite Delivery Contracts, acquisition planning has taken on a more important role to ensure A-E IDCs are appropriately structured. The removal of the size limits for A-E IDCs provides more authority, flexibility, and responsibility to the District/Center A-E contracting team for the proper planning of A-E IDC acquisitions.

b. Annual A-E Acquisition Strategy. As part of preparing the District's or Center's annual Overall Acquisition Strategy (OAS) as required by UAI/EFARS 7.102(S-101), an annual A-E acquisition strategy document shall be developed. This A-E acquisition strategy will indicate the total number of planned A-E contracts (by type and monetary value) that will be used/acquired annually by the District/Center. The District/Center's overall A-E strategy (a supplement to the District/Center's OAS), shall contain detailed justification for the specific qualifications, monetary value and contract time limits for all proposed A-E contracts including fixed-price ("C") contracts. The District/Center's overall A-E strategy should clearly reflect an equitable distribution of differing business sizes, locations, and classes of A-E firms, based on the anticipated workload of the District. A suggested format for the Annual Overall A-E acquisition strategy is presented in Appendix N.

c. A-E Acquisition Plans. For individual contracts, either a formal or an informal acquisition plan is required. The requirements for a formal acquisition plan are contained in FAR 7.1, DFARS 207.103, AFARS 5107.103, and UAI/EFARS 7.102 and 7.103. An informal plan is suitable for most contracts (see EFARS 7.102(S-103)). A formal plan must follow the format in FAR 7.105 or the modified plan contained in Appendix N of this EP, and is approved by the PARC. Acquisition plans must be fully coordinated among the stakeholders, including the functional elements. For a construction contract involving design, acquisition planning must include both the design and construction phases and be performed prior to the solicitation of a predecessor A-E contract. This is required to allow proper consideration of design-bid-build, design-build (see ER 1180-1-9) and other delivery methods.

d. Individual Contract A-E Acquisition Strategy. An A-E Acquisition Strategy is required for all A-E contracts with a value greater than the simplified acquisition threshold (FAR 37, AFARS 5137.590-7, PIL 2011-11 and PIL 2010-04). See Appendix N and AFARS 5137.590-7 for the different acquisition approval thresholds and the content required for an acquisition strategy. [Note: The acquisition strategy requirement noted under AFARS Subpart 5137.5 is unrelated to the OAS requirement in UAI/EFARS 7.102(S-101). The

annual OAS relates to the District or Center contracting activity's total anticipated workload, whereas the acquisition strategy relates to a specific program/contract/task order requirement. Therefore, the preparation of the OAS document does not replace the AFARS requirement for an acquisition strategy.] This acquisition strategy requirement does not apply to individual task orders issued under basic ordering agreements, blanket purchase agreements, indefinite delivery/indefinite quantity contracts, and similar ordering agreements, wherein the decision authority has already approved the acquisition strategy and the task order is within the scope of the contract. A suggested format for a contract A-E acquisition strategy is presented in Appendix N.

## 2-8. Contract Types.

a. General. The KO is responsible for selecting the appropriate contract type in coordination with technical, contracting and legal specialists. FAR Subpart 16.1 provides general policies and guidance on selecting contract type.

b. Firm Fixed-Price (FFP) Contract. A FFP contract (FAR 16.202) is appropriate when the statement of work (SOW) can be well defined and there is sufficient time to announce, select, negotiate and award a contract. A FFP contract minimizes the Government's risk and administrative burden. Other types of fixed-price (FP) contracts may be appropriate at times (see FAR 16.2).

c. Cost-Reimbursement (CR) Contract. A CR contract (FAR 16.3) is used when uncertainties in the SOW do not permit the costs of performance to be estimated with sufficient reliability to use a FP contract. A CR contract shall not be used as a substitute for developing a detailed SOW or providing adequate procurement lead-time. The most common CR contract types used for A-E services in USACE are cost-plus-award-fee (CPAF; FAR 16.305 and PIL 2011-11, "Requirements for Cost-Plus-Award-Fee Contract Issuance and Determination") where the contractor's fee (same as profit in a FP contract) is dependent on certain performance criteria, and cost-plus-fixed-fee (CPFF; FAR 16.306) where the contractor receives a fixed fee, independent of actual costs.

d. Labor-Hour (LH) Contracts. A LH contract or task order (FAR 16.601 and 16.602) compensates the contractor for actual hours worked at predetermined rates. This contract type does not provide a financial incentive for a contractor to perform efficiently, and hence, is one of the least preferred contract types. Somewhat similar to a CR contract, a LH contract may be applicable when the extent or duration of work or anticipated costs cannot be estimated with any reasonable degree of confidence. A LH contract or task order might be appropriate for work such as dredging payment surveys where the duration of the survey work is dependent on the progress of the dredging contractor, and the work duration is not within the direct control of the survey contractor.

e. Indefinite Delivery Contracts (IDCs). Indefinite delivery contracts are the predominant contract type used for A-E services in USACE. IDCs must comply with FAR 16.5, and FAR 36.601-3-90. IDCs are generally used for recurring types of A-E services where procurement of these services individually by normal announcement, selection,



negotiation, and award procedures would not be economical or timely. Task orders for particular projects are negotiated and issued under the terms and conditions of the IDCs. The task order may be Firm Fixed Price, Cost Reimbursement or time and material, as allowed by the terms and conditions of the basic IDC. If more than one award is identified in the synopsis, then multiple SF330s can be considered by the selection panel for negotiation and a series of separate Indefinite Delivery Contracts for A-E services can be awarded. This series of A-E IDCs can be termed Architect-Engineer Multiple Award Task Order Contracts (A-E MATOCs) per AFARS 5116.505-90(c) if the IDCs are for a specific program or area. The FAR encourages multiple awards from one synopsis if practical; however more than one award from a single FedBizOpps announcement does not necessarily require the multiple award to be an A-E MATOC. An A-E MATOC is basically a group of contracts for a particular program or specific area with same/similar services. A-E MATOCs should not be strictly equated to Multiple Award Task Order Contracts (MATOC) for construction, services or supplies which require price consideration. Regardless of the grouping or terminology used for A-E contracts, the award of task orders under a separate A-E IDC or under a group of A-E IDCs forming MATOCs must be qualification-based contract actions, per the Brooks Act.

f. Letter Contracts. A letter contract (FAR 16.603) is a preliminary contractual instrument that authorizes a contractor to begin work immediately. A definitive contract must then be negotiated by the Government within the time periods prescribed in FAR 16.603-2. This form of A-E contract is appropriate for urgent requirements when there is not sufficient time to follow the normal A-E negotiation and award process. The use of a letter contract must be approved by CECT-ZA in accordance with FAR 16.603-3 and DFARS 216.603-3 and 217.74. An exception to this approval requirement is that USACE Division Commanders may approve letter contracts not exceeding \$3,000,000 for emergencies in accordance with UAI/EFARS 16.603-3 and 17.7404-1 (S-100).

g. Simplified Acquisition Procedures.

(1) Purchase Orders. Purchase orders (FAR 13.302) are an expedient method for purchasing A-E services that do not exceed the simplified acquisition threshold (SAT), which is currently \$150,000 (FAR 2.101). Announcement and selection procedures are described in paragraph 3-15.a. of this EP. Purchase orders are almost always negotiated as FFP.

(2) Purchase Card. A-E services that do not exceed the micro-purchase threshold of \$3,000 may be procured using the Government purchase card as described in paragraph 3-15.a(4).

2-9. Selection of Contract Type. Selection of the appropriate A-E contract type generally depends on the following factors (also see FAR 16.104):

a. Scope Certainty. Use a FFP contract, task order, or purchase order if the scope can be defined and the level of effort reasonably estimated. If not, use a CR or LH contract or task order.

b. Nature and Size of Work. Consider first a task order if the required services are within the scope and size limitations of an available indefinite delivery contract. Alternatively, consider using a contract awarded through the advance selection process (see paragraph 3-15.h) of this EP if the required services are within the type of work and size limitations of that selection. If neither of these methods is suitable, then initiate a new announcement and selection process.

c. Schedule. Consider use of a purchase card or purchase order for a very small project. Consider a task order for a time-sensitive, small or moderate size project. A separate contract should be procured for a moderate or large project whenever possible. Consider using a contract awarded through the advance selection process for a time-sensitive project of the appropriate type and size. Consider limited competition (FAR 6.3) and/or a letter contract in urgent and emergency circumstances.

2-10. A-E Contracting Process. Appendix K depicts a generic network of the A-E contracting process in USACE, based on the existing acquisition regulations.

2-11. A-E Time Standards.

a. General. Prompt procurement of A-E services is essential to properly serve USACE customers. Prolonged procurement acquisition lead times causes delays in project milestones, untimely obligation of funds, increased costs, and is unfair to A-E firms. For these reasons, realistic time standards have been established for awarding A-E contracts and issuing A-E task orders in USACE. Commanders and managers are responsible to ensure that these standards are followed to the maximum extent possible.

b. Standards for Procurement Acquisition Lead Times.

(1) New A-E contracts should be awarded within 145 calendar days, measured from the date of the public announcement. (Additional time would be required before the issuance of the announcement to assess the requirement, determine an acquisition approach and prepare the announcement.) The typical durations of the activities required to award an A-E contract are shown in Appendix L.

(2) A-E Task orders should be issued within 37 calendar days, measured from issue of the Request for Price Proposal (RFPP) to the appropriate IDC contractor. The typical durations of the activities required to issue a task order under an IDIQ contract are shown in Appendix L.

(3) Task orders for partners such as Army installations, where the scope preparation and negotiations were done by the customer, should typically be issued by the USACE District/Center within 6 calendar days, measured from the District/Center receipt of proper negotiation documentation and funding from the customer. The relevant contracting activities and durations are shown in Appendix L.

(4) Contracts and task orders for A-E services should be awarded in less time if needed to meet critical customer requirements. Similarly, longer durations may be appropriate for certain contracts and task orders, such as complex and/or very large A-E contracts and task orders.

(5) Justifiable Delays. The above standards exclude justifiable delays beyond the reasonable control of a USACE command, such as: scope uncertainties, delay in receiving funds, deferral or suspension of a project by a customer or higher authority, unsuccessful negotiations with the highest qualified firm, delaying the award of an IDC for a reasonable period to coincide with issuance of the first task order, or a protest. Also, additional acquisition time would be required if an audit is considered necessary to determine a fair and reasonable price. Timeliness remains important to all stakeholders in A-E acquisitions regardless of the circumstances.

2-12. Streamlining Techniques. Appendix M provides some suggested techniques for streamlining A-E contracting. The timely award of A-E contracts and task orders is largely within the direct control of each USACE command, and requires very close cooperation and teamwork among engineering, project management, contracting, counsel, resource management, small business, audit and other functional elements.

2-13. Use of Other Agency Contracts. If a USACE District, Center or Division is considering the use of other Army, DoD or Federal agency procurements for A-E services, then they must verify that the non-USACE contract was procured using Brooks Act procedures. Use of non DoD contracts is strictly regulated as noted in AFARS Subpart 5117.78 -- Contracts or Delivery Orders Issued by a Non-DoD Agency. This requirement identifies specific rules for such contracts and defines roles and responsibilities for the acquisition strategy and approval process. USACE commands must carefully review any intended use of a contract other than USACE procurement for A-E Contracting and must ensure appropriate consideration for all requirements of this EP. If any other agency contract for A-E services was not procured as required by the Brooks Act, USACE is prohibited from using such contract(s).

2-14. Proper A-E Procedures. USACE Commands will ensure that the planning for A-E contracts follows proper business processes and must include strategy and planning per the UAI and ER requirements. Engineering Division and other technical Divisions that will be involved with acquisition and administration of A-E contracts, including A-E contracts for construction phase services, are required to review and concur with the Acquisition Strategy and Acquisition Plans, as applicable, and also must ensure that the technical Contracting Officer Representatives are properly appointed and are technically and administratively qualified to perform COR duties prior to award of the contract.



## CHAPTER 3

### Announcement and Selection

#### 3-1. Principles.

a. Public announcements for A-E services will reflect the minimum needs of the Government, not arbitrarily restrict eligible firms, and describe the work required and selection criteria in sufficient detail to facilitate a meaningful selection of the most highly qualified firm.

b. Public announcements for A-E services will be fully coordinated among all pertinent functional staff elements.

c. A-E selections will be conducted in a fair, rational and consistent manner, in strict accordance with the announced selection criteria, and in compliance with FAR 36.602 and its supplements.

d. A-E firms will be promptly notified of their selection status and offered a meaningful debriefing on the evaluation of their qualification submission.

3-2. General. The guidance and procedures in paragraphs 3-4 through 3-14 generally apply to all contracts for A-E services, except as otherwise noted in paragraph 3-15 for certain special cases.

#### 3-3. Responsibilities.

a. The Chief of Engineering in each operating command is responsible for the A-E selection process, including the technical content of public announcements for A-E services (including those prepared by other functional elements), the conduct of A-E evaluation (preselection and selection) boards, participation by customers in evaluation boards, and liaison with the A-E community.

b. The District/Center Chief of Contracting is responsible for the procurement-related content of public announcements for A-E services, and for general oversight of the A-E selection process to ensure regulatory compliance.

c. Commanders may appoint qualified professional personnel, by name and/or position, to:

(1) Serve as chairpersons and alternate chairpersons of A-E preselection and selection boards.

(2) Approve A-E selections consistent with delegated authorities (UAI/EFARS 36.602-4(a)).

d. Commanders may designate qualified professional personnel, by name and/or position, who are eligible to serve as members of A-E preselection and selection boards, as authorized by UAI/EFARS 36.602-2(a). Alternatively, commanders may establish appropriate qualifications for board members and delegate authority to the District/Center Chief of Engineering to designate specific personnel who satisfy those qualifications as board members.

e. Commanders of Major Subordinate Commands (MSC) are responsible for quality assurance of the A-E selection process in their subordinate districts. This can be done through the approval of selections for large or highly visible projects, evaluation of district standard operating procedures for selections, random review of completed selection reports, observing or participating in district selection boards, and/or other appropriate means.

### 3-4. Public Announcement.

a. Regulatory Requirements. In accordance with FAR 5.203(d), 5.205(d), and 36.601-1, all requirements for A-E services expected to exceed \$25,000 shall be publicized (synopsized) on the Federal Business Opportunities (FBO) website (<http://www.fedbizopps.gov>)<sup>2</sup>, except when properly waived in accordance with FAR 5.202. A response period of at least 30 calendar days shall be allowed for contracts expected to exceed the SAT.

b. Authority to Synopsize. A synopsis for an A-E contract, which has the equivalent effect as a solicitation for other types of contracts, should not be issued unless the Government has a definite intention to award a contract. Proper authorization from higher authority or a customer and adequate funding should be received prior to synopsis. However, for high priority requirements, a synopsis may be issued prior to receiving formal authorization and/or funding when there is a high probability that the requirement will not be canceled and the synopsis indicates that funds are not presently available for the contract (AFARS 5101.602-2(a)(ii)).

c. Format. Instructions and the format for preparing synopses are given in FAR 5.207 and DFARS 205.207. Appendix O provides supplemental instructions for USACE synopses for A-E services. Appendix P is an example synopsis for a FFP contract. Appendix P is an example synopsis for an indefinite delivery contract.

d. Content. A synopsis will describe the contract, project and required services, selection criteria, and submission instructions. The synopsis will describe the specific work required in sufficient detail to facilitate a meaningful selection of the most highly qualified firm. (See paragraph 3-1.a.) The relative importance of all selection criteria must be clearly stated. Do not include criteria that are not directly related to project requirements or that unnecessarily restrict competition, such as:

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<sup>2</sup> The FBO website is also called the Government wide point of entry (GPE). USACE contracting offices are required to post public announcements on the Army Single Face to Industry (ASFI) website (see Appendix F), which in turn links to the FBO website.

- (1) Specifying the minimum number of personnel in a firm;
- (2) Specifying non-essential or secondary disciplines;
- (3) Specifying disciplines, capabilities or a percentage of work (except the prime firm in a small business set-aside as discussed in paragraph 3-8.c) that must be performed "in-house";
- (4) Requiring certification of personnel by a private organization<sup>3</sup>;
- (5) Requiring metric design experience<sup>4</sup>;
- (6) Restricting firms to a specific geographic area;
- (7) Specifying how the services should be performed (instead, describe the needed end products);
- (8) Requiring the submission of any A-E services price-related data;
- (9) Requiring the submission of excessive qualification information;
- (10) Restricting a firm from being considered due to having another current contract with the same contracting office; or,
- (11) Requiring a security clearance to be considered for selection (however, eligibility for a clearance, such as U.S. citizenship, may be required).

e. Review and Transmittal. A synopsis will be prepared by appropriate technical, contracting and legal personnel, and be fully staffed, including the DSB (see paragraphs 2-6 and 3-1.b). If a formal acquisition plan or a waiver of any contract regulations is required, then approval must be obtained prior to synopsis. Synopses will be transmitted to the GPE electronically as described in FAR 5.207.

f. Contact with Firms. Requests for clarification of a synopsis and/or for additional information will be carefully handled to avoid providing any information that would give, or appear to give, an advantage to a firm in submitting their qualifications. A synopsis will be amended if additional information was given to any one firm or if the synopsis is found to be defective, and the response date appropriately extended.

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<sup>3</sup> Certifications can still be considered when comparing personnel qualifications, in the same manner that advanced degrees, relevant training, experience and longevity with the firm are considered.

<sup>4</sup> Metric design is still not a common practice in the US commercial market.

3-5. ACASS. ACASS is an automated database of A-E qualifications, Department of Defense (DoD) A-E contract awards, and performance evaluations of A-E contractors. Appendix R provides additional information on the background, regulatory authority, functions and use of ACASS. ACASS is managed by the Contractor Appraisal Information Center (CAIC) at the Portland District.

3-6. Board Membership. A-E evaluation boards should be constituted as follows based on the requirements in FAR 36.602-2(a) and UAI/EFARS 36.602-2(a).

a. General Requirements. The chairperson will appoint members with appropriate expertise from the approved list of eligible personnel, or who meet the qualifications established by the commander for selection board members. Each board must have at least three members. A majority of the members must be USACE personnel. Appropriately qualified technical personnel from the functional element requesting the services should be represented. A contract specialist should assist the board to ensure regulatory compliance. Where practical, a representative from the Construction Division that will manage the subsequent construction contract will participate on an evaluation board for an A-E contract for the design of a specific construction project. There is no regulatory restriction on a Government employee serving on an evaluation board for an A-E contract and later participating in the negotiation and/or administration of that contract. However, the KO may impose such restrictions if necessary to ensure the integrity of the system of checks and balances.

b. Board Member Qualifications. Evaluation boards will be composed of highly qualified professional employees having collective experience in architecture, engineering, construction, and acquisition, as well as the specific type of technical work being contracted. A board will consist primarily of architects, engineers and/or land surveyors, as appropriate for the type of work. However, personnel in other disciplines may be members to provide supplemental specialized expertise when needed. The chairperson will be a USACE Engineering Division employee, and be a registered or licensed engineer, architect or land surveyor, as appropriate for the type of work. All USACE architects, engineers, geologists, and land surveyors serving as board members will be registered. In special cases where adequate registered engineers, architects, and/or land surveyors are not available to staff required preselection and selection boards, the Chief of Engineering may issue a waiver to allow an engineer, architect or land surveyor without a professional license to serve on selection boards provided that the individual has comparable education, knowledge and experience that would qualify the individual for professional registration. Professional registration of all other board members is encouraged. A board report will indicate which board members are registered. See Appendix I for guidance on board membership requirements for surveying and mapping contracts. All board members will comply with the procurement integrity requirements of FAR 3.104 and sign a Nondisclosure Certification (see Appendix FF, "Nondisclosure Certification For Source Selection Participation") prior to evaluating A-E qualifications. Additional board membership requirements are:



(1) Preselection Board. A chairperson will be at least GS-13 or have equivalent technical experience, and have considerable experience on A-E evaluation boards. A majority of the members will have experience on A-E evaluation boards.

(2) Selection Board. A chairperson will be at least GS-14 or have equivalent technical experience, and have extensive experience on A-E evaluation boards. A majority of the members will have experience on A-E evaluation boards. A person may serve as a member on both the preselection and selection boards for the same contract.

(3) Partner/Customer Representative(s). In accordance with UAI/EFARS 36.602-2(a), Federal and non-Federal partners/customers may be invited when practical to nominate qualified representatives as members of the A-E selection boards for their projects. Architect-Engineer (A-E) support contractors who prepared the preliminary RFP drawings/specifications may be used by the evaluation board, provided the Contracting Officer approves written documentation which supports there are measures in place to ensure no situation exists where there is a conflict in roles which might bias the contractor's judgment and allows an unfair competitive advantage (ref: DFARS Subpart 207.503 (S-70)(1)(ii)); and ensures that no inherently governmental functions will be performed by those support contractors. All other A-E support contractors must be supported by a determination and findings prepared by the District/Center Contracting Officer and address the elements identified under DFARS Subpart 207.503, with regard to inherently governmental functions and avoidance of potential organizational conflicts of interest in accordance with FAR Subpart 9.505. The determination and finding requires approval by the Regional PARC prior to release of the solicitation. The A-E announcement must contain information to advise potential offerors of the support contractor participation as a non-government participant. Although these support contractors may be used to evaluate or analyze any specific aspect of a proposal, they may not be voting members or participate in rating proposals or recommending a selection. In addition, these support contractors may only have access to those portions of the proposal and selection information that they need to perform their specific duties. The support contract personnel may not have access to past performance or price cost data. Non-contractor representatives from Federal and non-Federal partners/customers shall be submitted to the respective evaluation board chairperson for approval, and must meet the same general qualifications as USACE personnel. Specifically they must have the appropriate background to knowledgeably evaluate the experience and qualifications of A-E firms in the required type of work, and sign the appropriate source selection Nondisclosure Certification (see Appendix FF).

### 3-7. A-E Selection Criteria.

a. Regulatory Requirements. FAR 36.602-1(a) and the Defense PGI 236.602-1(a)(6) specify the general A-E selection criteria. Defense PGI 236.602-1(a)(6) emphasizes that "the primary factor in A-E selection is the determination of the most highly qualified firm," and that secondary factors should not be given greater significance than technical qualifications and past performance.

b. Specific Project Criteria. DFARS 236.602-1(a) requires that a synopsis state the order of importance of the selection criteria and Defense PGI 236.602-1(a) requires that the

criteria be project specific. Specific project criteria should be stated in the context of the general FAR and DFARS criteria, as illustrated in Appendices P and Q. Include only selection criteria that will be true discriminators in determining the most highly qualified firms.

c. Application of Selection Criteria. Boards will evaluate firms' qualifications strictly on the basis of the announced selection criteria and their stated order of importance. The criteria will be applied as follows:

(1) Primary Selection Criteria. The following criteria are primary and will be applied by a preselection board to determine the highly qualified firms and by a selection board to determine the most highly qualified firms. The primary criteria are listed in the order of importance which is usually most appropriate; however, they may be ordered differently as appropriate for specific contracts.

(a) Specialized Experience and Technical Competence (FAR 36.602-1(a)(2)). A board will evaluate the specialized experience of a firm on similar projects<sup>5</sup> and the technical capabilities (such as design quality management procedures, CADD/BIM, equipment resources, and laboratory requirements) of the prime firm and any subcontractors. Evaluate, where appropriate, experience in energy conservation, pollution prevention, waste reduction, and the use of recovered materials. The effectiveness of the proposed project team (including management structure; coordination of disciplines, offices and/or subcontractors; and prior working relationships) will also be examined.

(b) Professional Qualifications (FAR 36.602-1(a)(1)). A board will evaluate, as appropriate, the education, training, registration, certifications (see paragraph 3-4.d(4)), overall and relevant experience, and longevity with the firm of the key management and technical personnel. This criterion is primarily concerned with the qualifications of the key personnel and not the number of personnel, which is addressed under the capacity criterion. The lead designer in each discipline must be registered as required by FAR 36.609-4 and 52.236-25, but does not have to be registered in the particular state where the project is located.

(c) Past Performance (FAR 36.602-1(a)(4)). See Appendix S for guidance in considering past performance in A-E selections.

(d) Capacity (FAR 36.602-1(a)(3)). A board will consider a firm's experience with similar size projects and the available capacity of key disciplines when evaluating the capacity of a firm to perform the work in the required time. Consider the full potential value

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<sup>5</sup> General experience working for certain customers, such as DoD, Army, Air Force, or USACE, is not an appropriate selection criterion. Instead, the selection criteria should address experience in certain types of projects or work, and knowledge of essential laws, regulations and/or criteria.

of any current indefinite delivery contracts that a firm has been awarded when evaluating capacity.

(e) Knowledge of the Locality (FAR 36.602-1(a)(5)). Consider knowledge of the locality separately from geographic proximity, since the latter is a secondary criterion in accordance with Defense PGI 236.602-1(a)(6). (A firm may not be located close to a project but still be familiar with certain site conditions.) Examples include knowledge of geological features, climatic conditions or local construction methods that are unusual or unique.

(2) Secondary Selection Criteria. The secondary criteria will not be applied by a preselection board, and will only be used by a selection board as a "tie-breaker" (see paragraph 3-10.e), if necessary, in ranking the most highly qualified firms. The secondary criteria will not be commingled with the primary criteria in the evaluation system<sup>6</sup>. The secondary criteria are listed in the order of importance which is usually most appropriate for USACE contracts.

(a) SB and SDB Participation (Defense PGI 236.602-1(a)(6)(C)). The extent of participation of SB, SDB, historically black colleges and universities (HBCU), and minority institutions (MI) will be measured as a percentage of the total anticipated contract effort, regardless of whether the SB, SDB, HBCU or MI is a prime contractor, subcontractor, or joint venture partner; the greater the participation, the greater the consideration<sup>7</sup>.

(b) Geographic Proximity (FAR 36.602-1(a)(5)). Proximity is simply the physical location of a firm<sup>8</sup> in relation to the location of a project, and has very little to do with the technical ability of a firm to perform the project. Hence, proximity should normally only be used as a selection criterion for small or routine projects or IDCs in support of a specific installation(s).

(c) Volume of DoD Contract Awards (Defense PGI 236.602-1(a)(6)(A)). The Defense PGI states "do not reject the overall most highly qualified firm solely in the interest of

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<sup>6</sup> If the criteria were commingled, a firm could be selected that was not the best qualified technically, but received high consideration on the secondary criteria. This outcome would be contrary to the intent of the Brooks A-E Act.

<sup>7</sup> A subcontracting plan, in accordance with FAR 19.704 and 52.219-9, should not be requested from each firm that responds to a synopsis. This would be burdensome, as well as impractical since the firms do not have a complete statement of work at this point. Prime A-E firms can, however, be asked to indicate the estimated percentage involvement of each SB and SDB firm on the team. A formal subcontracting plan is only required from the firm selected for negotiations.

<sup>8</sup> When multiple offices of the prime firm and/or subcontractors will be involved in the performance of a project, consider the weighted distance from the project based on the relative amount of participation of each performing office.

equitable distribution of contracts." Hence, equitable distribution of DoD contracts must be treated as a secondary criterion. Current DoD A-E contract awards may be obtained from ACASS, and verified and updated during the interviews with the most highly qualified firms. Only consider awards of A-E contracts. Include awards to all branch offices of a company, except as indicated in Defense PGI 236.602-1(a)(6)(A)(2). For IDCs, consider the total value of task orders actually issued by agencies in the last 12 months, and not the potential value of the contracts. For all types of contracts, do not consider options that have not been exercised.

### 3-8. General Procedures for Evaluation Boards.

a. Information Used by Boards. Boards will only consider the following information: SF330 Parts I and II; any required supplemental information; documented performance evaluations, such as from ACASS; DoD contract award data; and the results of interviews of the most highly qualified firms. A board will not assume qualifications which are not clearly stated in a firm's submission or available from ACASS. A board will review the entire submission of each firm and not excerpts or summaries. A firm will not be contacted to clarify or supplement its submission, except during the interviews with the most highly qualified firms (see paragraph 3-10.d). Boards shall not consider any cost factors.

#### b. A-E Selection Submissions.

(1) A-E submissions shall be handled by the Government in accordance with FAR 15.207 and 15.208, including the late proposal rules in FAR 15.208. A firm will not be considered if its SF 330 Part I is not signed, unless the SF 330 Part I is accompanied with a signed cover letter or a current signed SF 330 Part II. If a firm does not submit a SF 330 Part II with its SF 330 Part I, or have one on file<sup>9</sup>, it will not be considered (FAR 36.603(b)).

(2) Although firms are encouraged to update their SF 330 Part II (see footnote 9) at least annually (FAR 36.603(d)(1)), older ones (up to 3 years old in accordance with FAR 36.603(d)(5)) must still be considered by a board. A firm may not be eliminated simply for failing to submit certain information or for altering the format of a SF 330. However, a firm may be recommended as not qualified or ranked low if missing, confusing, conflicting, obsolete or obscure information prevents a board from reasonably determining that a firm demonstrates certain required qualifications.

c. Small Business Status. If a contract has been set aside for small business in accordance with FAR 19.5, the preselection board must check that each prime firm has certified itself as a small business on the SF 330 Part II. The board must also be aware that there is a limitation on subcontracting whereby "at least 50% of the cost of contract performance incurred for personnel" must be expended for employees of the prime firm as

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<sup>9</sup> Through the Federal-wide Online Representations and Certifications Application. See Appendix F for the website.

required by FAR 19.508(e) and 52.219-14. Any questions will be referred to the DSB and the Contracting Division.

d. Evaluation Method. A board may use any qualitative method<sup>10</sup>, such as adjectival or color coding, to evaluate and compare the qualifications of the firms relevant to each selection criterion.

e. Conduct of Board Meetings. Board meetings should be held in conference rooms or other areas isolated as much as possible from distractions, rather than meeting in one of the board member's office. Sufficient time should be set aside for the meetings to proceed continuously until they are finished. Board members should schedule their other activities so that interruptions of the board meetings are held to an absolute minimum.

f. Reports. The documentation must reflect the final consensus of a board. If preliminary (such as prior to board discussions or interviews) or individual evaluations are included, then the report must discuss how any significant differences among the evaluations were resolved. A board must retain documents and worksheets generated during its evaluation so that the evaluation is sufficiently documented and allows review of the merits of a potential bid protest. Failure to retain evaluation documents will leave the KO susceptible to the bid protest risk of presenting a record with inadequate supporting rationale for the Comptroller General or court to find the selection decision reasonable. Handwritten worksheets are acceptable. The cover and each page of the report containing source selection information will be labeled "SOURCE SELECTION INFORMATION - SEE FAR 2.101 AND 3.104" and be protected as required by FAR 3.104-5. Personal worksheets must be similarly protected. Board members must not discuss the evaluation results with anyone who does not have a specific acceptable reason to know.

### 3-9. Preselection Board.

a. General. Preselection boards are permitted by FAR 36.602-2(a). Preselection boards may be advantageous when many firms respond to a synopsis, but generally the use of only a selection board is faster and less costly. The purpose of a preselection board is to determine which firms are highly qualified and have a reasonable chance of being considered as most highly qualified by the selection board (UAI/EFARS 36.602-2 (S-100)).

b. Determination of Highly Qualified Firms. Each firm will be completely evaluated, even if a firm does not demonstrate certain required qualifications. All evaluations must be discussed by the board and a consensus reached on each firm. The firms that demonstrate better aggregate qualifications relevant to the primary selection criteria are considered highly qualified. A preselection board will not consider any secondary selection criteria. A preselection board will not be restricted to a specific or maximum number of firms for referral to a selection board.

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<sup>10</sup> Numerical scoring is prohibited by AFARS 5115.304(b)(2)(iv).

c. Report. A preselection board report will be prepared similar to Appendix T. The report must clearly identify the specific weak or deficient qualifications of each firm not recommended as highly qualified. The report will be provided to the selection board and made a part of the selection board's report. Separate approval of a preselection report is not required.

### 3-10. Selection Board.

a. General. The functions of a selection board are described in FAR 36.602-3. A selection board evaluates the highly qualified firms identified by the preselection board and recommends at least three firms considered as most highly qualified, in order of preference. If a preselection board was not held, then the initial phase of the selection board will be conducted and documented similar to a preselection board.

b. Review of Preselection Report. If a selection board considers the preselection board report inadequate, then it will document the reasons and return the report to the preselection board for appropriate action. A selection board need not return the preselection report because it considers some of the firms to be less than highly qualified, provided a sufficient number of highly qualified firms remain.

c. Determination of Most Highly Qualified Firms. All members must personally evaluate the SFs 330 of all of the highly qualified firms. The firms that demonstrate higher aggregate qualifications relevant to the primary selection criteria are considered to be the most highly qualified firms. Secondary selection criteria will not be considered prior to the interviews in determining which firms are most highly qualified. At least three most highly qualified firms must be recommended<sup>11</sup> if a single contract will be awarded. If more than one contract will be awarded from the same synopsis, then sufficient firms must be recommended to ensure that at least two most highly qualified firms remain "in reserve" when negotiations commence on the final contract.

#### d. Interviews.

(1) Interviews (discussions) will be held with all of the most highly qualified firms as required by FAR 36.602-3(c). All firms will be interviewed by the same method (telephone, video teleconference, or in person). For a routine project, at least one member will conduct the interview. For a major project, the majority of the members will conduct the interview. For a very significant project, presentations by the firms are recommended, which should be attended by all members in accordance with FAR 15.102. Firms will be given sufficient advance notice to allow responsible representatives to participate in the interviews or presentations.

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<sup>11</sup> If the selection board cannot recommend at least three most highly qualified firms as required by the Brooks A-E Act, then the scope of the contract should be revised to increase competition and again synopsize the contract.

(2) All firms will be asked similar questions about their experience, capabilities, capacity, organization, management, quality control procedures, and approach for the project, as appropriate. All questions must relate to the announced selection criteria. Information obtained from an interview that influenced the final ranking will be documented in the selection report.

e. Final Ranking of Most Highly Qualified Firms. After the interviews or presentations, a board will, by consensus, rank the most highly qualified firms in order of preference using the primary selection criteria. If two or more firms are technically equal, secondary criteria may be used as "tie-breakers" and the final ranking of firms decided. Firms are technically equal when there is no meaningful difference in their aggregate qualifications relative to the primary criteria. If more than one contract will be awarded from the same synopsis, the number of highest qualified firms must at least equal the number of anticipated contracts<sup>12</sup>. The secondary factors will be used to establish a ranking order for the highest qualified firms, and hence, the order for negotiation.

f. Report. A selection board report should be prepared in a format similar to Appendix U. The report must: clearly describe the reasons why each eliminated firm was less qualified than the most highly qualified firms, summarize the relative strengths of each most highly qualified firm with respect to the selection criteria, and clearly describe the rationale for the relative ranking of each firm.

### 3-11. Approval of Selections.

a. The UAI/EFARS 36.602-4(a) delegates unlimited A-E selection approval authority to Division or Center commanders, who may redelegate this authority to appropriate officials. If a synopsis is for more than one contract, then the level of selection approval authority will be determined by the greatest anticipated value of any one of the contracts (including all options), and not the aggregate value of all of the contracts.

b. FAR 36.602-4 provides guidance if the selection authority does not agree with the recommendations of a selection board. All firms on an approved selection list are considered "selected" in accordance with FAR 36.602-4(b). Selection approval authorizes the initiation of negotiation, beginning with the highest qualified firm.

c. No contract may be awarded after one year from the closing date of a public announcement, unless justified in writing by the KO. The KO will consider whether the

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<sup>12</sup> The Brooks Act requires that negotiation begin with the highest qualified firm. Hence, all of the selected firms must be equally (and highest) qualified in order that negotiation of the second and subsequent contracts may begin with other than the first firm on the selection list. The highest qualified firms are determined by application of the primary selection criteria which considers technical capabilities. Their ranking is then determined by the secondary selection criteria, which are socioeconomic, and not technical, in nature.

selected firms' qualifications and the specific A-E market are substantially unchanged since the selection.

### 3-12. Notifications.

a. The selection board chairperson shall notify, in writing or electronically, all firms of their selection status within 10 calendar days after approval of the selection. Notifications shall not be made after a preselection board. The notification shall indicate to the firm that it is: (i) The highest rated, (ii) Among the most highly qualified firms but not the highest rated, or (iii) Not among the most highly qualified firms. The notification shall also inform each firm that it may request a debriefing in accordance with paragraph (b) below. Within 10 days after contract award, all remaining most highly qualified firms shall be so notified.

b. A written or electronic request for a debriefing must be received by the selection chairperson within 10 days after the date on which the firm received the notification. Debriefing should occur within 14 days after receipt of the written request, unless impractical and the reason is documented in the contract file. Debriefing will be conducted by the selection board chairperson or his/her designee.

c. When an acquisition is canceled, notices will be sent within 10 days of the cancellation to all firms that responded to the public announcement. If an acquisition will be significantly delayed, then notices will be promptly sent to all firms still being considered, stating the estimated award date.

### 3-13. Debriefings.

a. There are two main objectives for a debriefing. First, instill confidence in the debriefed firm that the selection was conducted fairly and objectively in accordance with the announced selection criteria. Second, provide the firm with specific information to allow it to improve its qualifications and better compete for future similar projects.

b. Unless impractical, debriefing of unsuccessful firms will be conducted within 14 calendar days after receipt of a written request in accordance with FAR 15.506 (except 15.506(d)(2)-(d)(5)), FAR 36.607(b), and UAI/EFARS 36.607(b). A request under the Freedom of Information Act (FOIA; AR 25-55) will be immediately referred to the local FOIA officer.

c. Debriefings will be conducted by telephone, electronically or in person, as mutually agreed. Debriefings will be conducted by a USACE preselection or selection board chairperson, or an appropriate selection board member designee. The debriefing will be based on the preselection or selection board report, as appropriate. The debriefing will summarize the significant weaknesses or deficiencies in a firm's qualifications (FAR 15.506(d)(1)). A firm's qualifications will not be compared point-by-point with those of any other specific firm, but with the other firms collectively (FAR 15.506(e)). Also, a firm's 330



will not be revealed or given to any other firm (FAR 15.506(e) and 24.202(a)). The identity of the other firms considered, except the highest qualified firm, shall not be revealed.

3-14. Disposition of SFs 330. SFs 330 will be carefully safeguarded and retained in accordance with UAI/EFARS 36.603(b).

3-15. Special Cases.

a. Contract Actions Not Expected to Exceed \$150,000 (SAT). The short A-E selection processes in FAR 36.602-5 may be used. A purchase order, with the appropriate clauses for A-E services, may be used to simplify and expedite award instead of using SF 252, Architect-Engineer Contract.

(1) Contract Actions Expected to Exceed \$25,000 but not \$150,000. A public announcement on the FBO website is required. The response period may be less than 30 days (FAR 5.203(d)); at least 10-15 days is recommended. If an insufficient number of qualified firms respond to the synopsis, other qualified firms may be identified from ACASS and any other means. These firms will be contacted about their interest, sent the synopsis, and requested to submit an updated SF 330 Part II and possibly a SF 330 Part I as required by the selection board. The firms will be given a reasonable period to respond.

(2) Contract Actions Expected to Exceed \$15,000 but not \$25,000. Public announcements may be posted in a public place or made by any appropriate electronic means (FAR 5.101(a)(2)). In addition to the firms that respond to the announcement, other firms may be identified and evaluated as described in paragraph 3-15.a(1).

(3) Contracts Not Expected to Exceed \$15,000. No public announcement is required. A reasonable number of qualified firms must be identified and evaluated as described in paragraph 3-15.a(1).

(4) Contracts Not Exceeding \$3,000. Contracts that do not exceed the micro-purchase threshold of \$3,000 may be procured using purchase cards.

b. Non-Appropriated Fund (NAF) Contracts (AR 215-4).

(1) Public announcement is not required. If a contract is synopsisized, it may be for less than 30 days. A list of qualified firms may be developed from: ACASS; recommendations from the installation, NAF sponsor, or professional societies; responses to a public announcement; or, any other appropriate source.

(2) Evaluation boards will be conducted and documented as described elsewhere in this pamphlet, except that the selection criteria will comply with AR 215-4. In particular, equitable distribution of DoD contracts and the extent of participation of SB, SDB, HBCU and MI are not used as selection criteria. Also, geographic proximity need not be treated as a secondary criterion. Normal selection approval procedures are followed.

c. Contracting with the Small Business Administration (FAR 19.8). A-E services may be procured through the SBA's 8(a) Business Development Program. USACE may request the names of 8(a) firms from SBA or recommend qualified 8(a) firms to SBA for approval. A sufficient number of qualified 8(a) firms must be considered such that at least three firms are deemed most highly qualified to provide the required services in order to comply with the Brooks A-E Act. Firms present their qualifications using SF 330. The qualifications of 8(a) firms will be reviewed and documented by USACE in accordance with FAR 36.602.

d. Unusual and Compelling Urgency (FAR 5.202(a)(2) and 6.302-2). If the conditions in FAR 6.302-2 are met, public announcement is not required. However, as many firms as it is practical to identify under the circumstances should be identified using the process described in paragraph 3-15.a(1). Justification and Approval processes under FAR 6.303 and 6.304 are required.

e. Work Contracted and Performed Outside the United States (FAR 5.202(a)(12)). If the contract action is awarded and performed outside of the United States, public announcement is not required. Normal selection and approval procedures are followed. However, see the restriction in DFARS 236.602-70 on the award of overseas A-E contracts to foreign firms.

f. Medical Facilities. The USACE Medical Facilities Center of Expertise (CEHNC-MX) is the primary technical authority for medical facility engineering and design management. For medical facilities funded by military construction appropriations, MSCs and Districts will consult with CEHNC-MX on determination of the appropriate A-E acquisition method, preparation of the synopsis and SOW for A-E services, and conduct of the preselection and selection boards. The CEHNC-MX will usually participate in the preselection and selection boards for complex or high cost medical projects, and may participate in the selection board for other medical projects.

g. Design Competition (FAR 36.602-1(b)). The use of design competition shall be approved by HQUSACE (ATTN: CECW-CE).

h. Advance Selection Process. UAI/EFARS 36.602 (S-100) authorizes an advance A-E announcement and selection process if two or more A-E contracts for the same type of work are reasonably anticipated in a given period in a particular geographic area. Announcement and selection may be conducted prior to receiving specific authorization for any work of that type. Procedures for this process are provided in Appendix V. This process does not apply to IDCs.

3-16. EP 715-1-4 (Competing for Architect-Engineer Contracts Awarded by the U.S. Army Corps of Engineers). This pamphlet describes the A-E contracting process in USACE and how firms may obtain consideration for contracts. This information is useful for firms seeking an A-E contract with USACE and should be made widely available to the A-E community.

## CHAPTER 4

### Negotiation and Award

#### 4-1. Principles.

a. Contract negotiation is a team effort among properly trained and well-prepared personnel in engineering, contracting, counsel, project management and other appropriate functional elements.

b. Negotiation will be based on a thorough SOW that fully conveys the customer's requirements and the pertinent technical criteria.

c. Negotiations will be conducted in a professional and sincere manner.

d. The primary objective in negotiation is to agree on a price which is fair and reasonable to the Government (not necessarily the lowest price) and gives the A-E firm sufficient financial incentive to produce quality services and products on schedule.

4-2. Responsibilities. Commanders shall ensure that personnel who negotiate A-E services are properly trained.

4-3. Regulatory Basis. A-E contract negotiations will be conducted primarily in accordance with FAR 15.4, 36.605 and 36.606, and supplements thereto.

#### 4-4. Negotiation Team.

##### a. Team Members.

(1) A-E contract negotiation is a team effort among engineers, architects, contracting specialists, counsel, contract auditors (for advisory support) and other specialists, under the authority of the KO who is solely responsible for the final price agreement (FAR 15.405(a)). The negotiation team must collectively have a thorough knowledge and understanding of the A-E business community, the detailed project requirements, applicable technical criteria, and contracting policies. (In this pamphlet, "negotiators" mean the members of the Government negotiation team.)

(2) There is no regulation that precludes a Government employee who sat on an evaluation board for an A-E contract from also participating on the negotiation team for that contract. Also, there is no regulation that precludes a member of the negotiation team from participating in the administration of the contract. However, the KO may impose such restrictions if necessary to ensure the integrity of the system of checks and balances.

b. Training. Engineers, architects and surveyors who are primary participants in A-E negotiations shall have the following minimum contracting training:

(1) "Architect-Engineer Contracting," PROSPECT course 004; or DAU course CON 243 (same title).

(2) A course on basic Federal contracting approved by the local District/Center Chief of Contracting.

(3) A course on Government contract law, approved by the local District/Center Chief of Contracting.

4-5. Statement of Work. A thorough SOW is the basis for negotiating a fair and reasonable price, successful performance, and fair and effective administration of an A-E contract or task order. The SOW is included as Section C in the Uniform Contract Format (UCF; FAR 15.204-1 and UAI/EFARS 15.204(a)). A SOW will typically include the following topics:

a. General responsibilities of the A-E firm.

b. Project description, including estimated construction cost (ECC), if relevant.

c. Scope of A-E services.

d. Schedule and deliverables. Refer to the most recent guidance from the Tri-Service CADD/BIM/GIS Technology Center on sample contract language for CADD/BIM and GIS deliverables.

e. Reviews and conferences.

f. Technical criteria and standards, including Government-furnished information.

g. Administrative instructions.

h. General provisions.

Appendix W is an example statement of work for a task order.

4-6. Request for Price Proposal. A firm will be notified by the KO or other authorized representative in writing (except for urgent situations) of its selection for negotiation of a contract action (contract, task order, or modification to a contract or task order) and requested to submit a price proposal (FAR 36.606(b)). Appendix X provides RFPP instructions.

4-7. Preproposal Conference.

a. General. When appropriate, a preproposal conference(s) may be held between the A-E firm and pertinent Government representatives to discuss and resolve questions concerning the contract requirements, SOW, and RFPP instructions. The project site may also be inspected if appropriate. An A-E firm's costs for preparing proposals and attending preproposal conferences are normal costs of doing business and are included in a firm's overhead rate. A firm is not compensated for attending a preproposal conference unless the firm performs work of tangible benefit to the Government in connection with the conference, and the work is properly authorized in advance by the KO.

b. Contract Requirements. At the preproposal conference or at some other time early in the negotiation period, the Government will discuss the following contract requirements with the A-E firm and document these discussions in the price negotiation memorandum (PNM):

(1) Performance evaluation process (FAR 36.604, UAI/EFARS 36.604 and Chapter 6 of this pamphlet).

(2) Liability for Government costs resulting from design errors or deficiencies (FAR 36.608, 36.609-2, and 52.236-23, and Chapter 7 of this pamphlet).

(3) Design within funding limitations (FAR 36.609-1 and 52.236-22), when applicable.

(4) Registration of designers (FAR 36.609-4 and 52.236-25), when applicable.

(5) Payments (FAR 32.111(d)(1) and 52.232-10, and paragraph 5-7 of this pamphlet).

(6) Subcontractors and Outside Associates and Consultants (Architect-Engineer Services) (FAR 36.606(e), 44.204(b) and 52.244-4)<sup>13</sup>. This clause stipulates that the contractor obtain the written consent of the Contracting Officer prior to substitution of subcontractors, associates, or consultants specifically identified and agreed to during negotiations. The prime A-E firm must obtain the KO's consent to change any subcontractors that were identified during selection and negotiation. The KO should refer the qualifications of any new subcontractor to the original selection board (to the extent that these individuals are available) for evaluation. Approval of these substitutions may result in a price credit to the Government.

(7) Subcontracting plan requirements and reporting if the A-E firm is a large business and the contract is over \$650,000 (see paragraphs 4-15 and 5-8).

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<sup>13</sup> The KO and negotiators may and should strongly encourage contractors to use a qualification-based selection process like the Brooks A-E Act instead of bidding when selecting subcontractors for professional services.

4-8. Partnering.

a. General. Partnering is the development and sustainment of a relationship that promotes achievement of mutually beneficial goals. See ER 1110-1-12 for additional guidance on partnering, including a sample partnering agreement. If a formal partnering agreement is desired by the Government and/or the A-E firm, then it should be discussed during negotiations. However, partnering is voluntary and does not begin until after contract award.

b. Costs. Since it is voluntary, a firm is not directly compensated for partnering on its contract. Typically, the Government and the A-E firm share the costs of partnering, with the A-E firm absorbing its costs in its overhead. However, an A-E firm may be compensated for participating in partnering meetings during construction when the firm's attendance is necessary to discuss the design intent, procedures for responding to the construction contractor's questions on the drawings and specifications, scheduling considerations, or similar project issues. Partnering meetings should be scheduled concurrently with required meetings to minimize costs.

4-9. Service Contract Act (SCA). The SCA (FAR 22.10) applies to an A-E contract if the SOW involves the use of service employees (such as drilling and survey crews, clerks, CADD/BIM operators, photographers, and laboratory technicians) to a significant or substantial extent. If the SCA applies, then a wage determination (WD) must be obtained from the U.S. Department of Labor (DoL) for the service employees anticipated in the contract. In most cases, the WD may be obtained electronically by the contract specialist from DoL's Wage Determinations Online website (see Appendix F). The WD must be provided to the firm for use in preparing its proposal. The proposed labor rates and benefits for service employees must be at least equal to the WD. For surveying and mapping contracts, the WD for the location of the performing office of the prime contractor and any subcontractors shall be used instead for the WD for the location of the work<sup>14</sup>.

4-10. Independent Government Estimate (IGE). In accordance with FAR 36.605(a), an IGE is required for each A-E contract action expected to exceed \$150,000 (total absolute value of all elements of the action, including credits). An informal or working estimate is recommended for actions of \$150,000 or less. An IGE will be prepared and approved in accordance with the procedures in Appendices Y and Z. Disclosure of the IGE will comply with FAR 36.605(b). This requirement also applies to task orders.

4-11. Fact-Finding Sessions. The negotiators may hold fact-finding sessions (FAR 15.406-1(a)) with a firm after receiving its price proposal and prior to negotiations. The purpose of fact-finding is to obtain information to better understand the proposal and its assumptions,

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<sup>14</sup> In accordance with CIR Information Letter No. 96-3, CECC-L, 26 July 1996, subject: Service Contract Act Wage Determinations Relating to Surveying and Mapping Services.

and to clarify any ambiguities, omissions or uncertainties in the RFPP and SOW apparent after review of the proposal. After fact-finding, a revised proposal may be requested.

Detailed proposal analysis or audit should not be performed until a conforming proposal (a proposal that properly reflects the SOW and complies with the RFPP instructions) is received. No negotiation will take place during fact-finding; that is, the Government will not state its bargaining position or objectives during fact-finding.

#### 4-12. Proposal Analysis and Prenegotiation Objectives.

a. Proposal Analysis. An A-E proposal will be analyzed in accordance with FAR 15.404 and Appendix AA of this EP. Proposal analysis includes technical analysis, price analysis and cost analysis.

b. Audit. An audit should be considered for the cases listed in DFARS 215.404-2<sup>15</sup>, and this consideration documented in the PNM. An audit is appropriate if the available information is inadequate to determine the reasonableness of the proposed price (FAR 15.404-2(a)). The Defense Contract Audit Agency (DCAA) is the appropriate audit agency for most USACE contracts.

#### c. Prenegotiation Objectives (PNO).

(1) The PNO is developed after a proposal has been analyzed. The PNO is the pertinent negotiation issues and the cost and profit objectives (FAR 15.406-1). The numerical objectives will be shown in a tabular comparison with the corresponding elements of the proposal, IGE, and audit (if available). Keyed to the numerical objectives will be a discussion of the significant differences among the IGE, audit (if performed), PNO and proposal, and the issues to be covered during the negotiations. The PNO may be organized by phase of work, task, discipline, or other appropriate manner. The PNO is documented in a Prenegotiation Objective Memorandum (POM) which includes the significant details of the contracting action and the course of action the negotiators intend to pursue. The PNO is approved by the KO prior to negotiations (AFARS 5115.406-1(b)).

(2) The review and approval of the POM will be in accordance with local procedures and at the lowest practicable level appropriate for the complexity, risk and dollar value of the contract action. Local procedures may exempt the review and approval of a POM for small

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<sup>15</sup> Also consider an audit for an IDC where the total contract amount, including all option periods, exceeds the pertinent threshold in DFARS 215.404-2 for the anticipated type of task order (fixed-price or cost-reimbursement).

or routine actions, but the prenegotiation objectives shall be approved by the KO prior to negotiations.

#### 4-13. Negotiation of FFP Contracts.

a. **Conduct of Negotiations.** Negotiations should be conducted in an atmosphere of professionalism, patience, and trust. The KO will assign appropriate responsibilities to the team members according to their expertise and maintain overall positive control of the negotiations. The negotiation team must be fully prepared and know what flexibility there is in the Government position. The negotiators must focus on the pertinent issues and be willing to adjust the Government's position when appropriate.

##### b. **Statement of Work.**

(1) **General.** The Government and A-E firm must have a common understanding of the SOW before discussing effort and price. The negotiators must ensure that the firm is proposing to use personnel and procedures appropriate for the required work. The negotiators must know if there is any flexibility in the SOW requirements, including the performance schedule. It might be possible to reach agreement if one or more items in the SOW are modified or deleted, or provided by the Government, or the contractor better understands the requirements and their relationship to the overall success of the work.

(2) **Construction Cost.** The ECC for the work must be included in the SOW. For a contract involving design, agreement must be reached on the ECC of the project because it directly impacts compliance with the 6 percent statutory limitation (paragraph 4-13.c(3)) and the Design within Funding Limitation clause (paragraph 4-7.b(3)). The A-E firm must submit acceptable evidence of any perceived deficiencies in the Government cost estimate before the Government agrees to any adjustment to the ECC.

c. **Price.** Bottom-line price agreement is the primary negotiation objective. However, the negotiators should make a bottom-line price offer only as a final attempt to reach agreement after there is a common understanding of the SOW. The negotiators should not be preoccupied with any single cost item (such as labor hours, labor rates, overhead rates or profit) since agreement on every item is not required to reach overall price agreement (FAR 15.405(a) and (b)). Conversely, final agreement does not indicate agreement on all elements of the proposal. Significant items affecting price agreement must be discussed in accordance with the PNO. The negotiators should not place themselves in a position where they are defending the Government's position. Rather, a firm should be requested to explain and support its proposal and to offer appropriate revisions. Significant elements in price negotiation are discussed below.



(1) Labor and Overhead Costs.

(a) Position classifications and labor hours will be evaluated in the technical analysis (Appendix AA). Labor rates will be examined by audit or review of payroll records and evaluated for their reasonableness. Overhead costs will be reviewed, which may include an audit, for allowability in accordance with FAR 31.2. The review will address the allowability of overhead costs to the contract, the acceptability of specific costs according to FAR 31.205, conformance with accounting standards (FAR 30), and reasonableness.

(b) Labor and overhead rates are negotiable. The reasonableness of labor and overhead rates will be evaluated by comparison with relevant market surveys (Appendix Z) and similar recent proposals (FAR 15.404-1(c)). When assessing reasonableness, a firm's costs should be compared to efficient, competitive firms in the same class (see Appendix Y, paragraph 6.a). Verification of the actuality of labor rates and overhead rates, such as by audit, does not necessarily mean that they are reasonable. Also, firms can properly allocate costs in different ways. Hence, overhead rates, labor rates and the assignment of costs as direct or overhead must be considered together to fairly evaluate reasonableness.

(c) Accordingly, the PNO for labor rates and overhead rates shall not be based upon arbitrary caps. If labor rates and/or overhead rates are so high as to make the total price unreasonable, the negotiators should first seek justifiable reductions in the judgmental elements of the proposal (such as labor hours and position classifications) before negotiating the labor rates and overhead rates.

(2) Profit. It is in the Government's interest to negotiate sufficient profit to stimulate efficient contract performance and to attract the best qualified firms (FAR 15.404-4(a)(2) and (3)). Profit must not be negotiated until all costs have been agreed to. The negotiators should be primarily concerned with the total dollar amount of proposed profit, and not the method or rationale used by the firm to estimate profit for itself and any subcontractors (FAR 15.404-4(c)(5)). The profit method for A-E contracts in UAI/EFARS 15.404-73-101 is only used in preparing the Government estimate of a fair and reasonable price. A firm is not required to compute its profit by this method. Profit should be allowed on all costs, including travel and reproduction.

(3) Statutory Limitation. The portion of the contract price for A-E services for the preparation of designs, plans, drawings and specifications may not exceed 6 percent of the project's ECC (FAR 15.404-4(c)(4)(i)(B) and 36.606(a), and DFARS 236.606-70). This limitation is statutory (10 U.S.C. 4540(b)). Appendix Y of this EP provides examples of services that may be excluded from the A-E contract price when determining compliance with the 6 percent statutory limitation. These examples will be used as a guide in determining other types of services that may be excluded.

Preparation of the construction cost estimate is not excluded.<sup>16</sup> A-E contract for preparation of the Request for Proposals (RFP) for a design-build solicitation is considered non-design services for purposes of the 6% statutory limitation. The 6 % statutory limitation does not apply to a design-build contract.

d. Acceptance or Termination of Negotiations. If agreement is reached, then the firm will be advised not to begin work until directed by the KO. If agreement cannot be reached, then the firm will be requested to submit its best and final offer in writing (FAR 36.606(f)) within a reasonable time. If the firm does not submit a final offer in the stated time, its last written proposal will be used as the final offer. No further discussions will be held with a firm if its final offer is not completely acceptable. The firm will be sent a brief letter stating that negotiations are terminated. A POM will be prepared documenting the unsuccessful negotiations and be approved by the KO. Negotiations may then begin with the next ranked firm. To preclude complaint or protest by the unsuccessful firm, no significant changes should be made in the SOW during negotiations with the next firm.

e. Modifications. The negotiation of modifications generally follows the same procedures as the negotiation of contracts in accordance with FAR Part 43.

4-14. Negotiation of Indefinite Delivery Contracts (IDC). The negotiation of an IDC is similar to a FFP contract; however, the negotiation of total prices pertains only to the task orders issued under an IDC. Agreement on labor rates and overhead rates is the central issue in the negotiation of an IDC.

a. Labor and Overhead Rates.

(1) Labor and overhead rates will be evaluated similar to a FFP contract. Negotiation should concentrate on the important position classifications anticipated to be used in the IDC. A specific hourly or daily rate must be negotiated for each position classification, and a common understanding reached on the type of work that each level of employee will do.

(2) Disagreement over the labor rate for a certain position classification might be resolved by the use of additional classification levels (such as three experience levels for an architect instead of one), or by adjusting the proportion of time of individual employees with different labor rates which comprise that classification. Also, disagreement over labor and/or

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<sup>16</sup> Preparation of the cost estimate is an integral part of "producing and delivering designs, plans, drawings and specifications" and is therefore, subject to the 6 percent limitation. The mandatory Design within Funding Limitation Clause (FAR 52.236-22) requires an A-E firm is to design a project within the project's construction budget. The estimate must be prepared coincident with the construction documents to guide the selection of materials, components, and systems and keep the project within budget. Hence, the estimate is a necessary and integral part of the design process, and is not excludable.

overhead rates may be resolved by negotiating composite labor and overhead rates. Rates or a method for determining rates, such as reference to Engineering News-Record cost indices or the Department of Labor Employment Cost Index (website in Appendix F), for all contract option periods must also be negotiated. Further, for contract periods longer than one year, consider including a pre-determined method for adjusting the rates periodically to account for inflation.

b. Travel. The schedule of negotiated contract rates will include unit costs for all anticipated travel items such as vehicle cost per mile or day, and per diem for certain locations of work. For travel that cannot be anticipated, the contract may include a statement that travel costs will be computed in accordance with FAR 31.205-46.

c. Other Direct Costs. A unit cost or price should be negotiated for all anticipated supplies (such as survey monuments) or support services (such as soils tests). Unit costs or prices may also be negotiated for specific types of services, such as a daily rate for a survey crew or per acre rate for a topographic survey.

d. Profit. The Weighted Guidelines Method shall be used when establishing the Government Estimate for Profit on AE Contracts. Profit will usually be negotiated for each task order under an IDC. However, a standard profit rate for all task orders may be established in an IDC if all orders will be very similar in nature, complexity, risk, price, and performance period. In either case, the profit rate will be applied to the total of the prime firm's costs and any subcontractors' costs (without profit) to avoid unreasonable layering of profit (i.e., no profit on profit). Profit should be allowed on all costs, including travel and reproduction. Appendix Y provides further explanation of profit calculations.

e. Acceptance or Termination of Negotiations. Agreement on every rate, such as labor, overhead, or travel, is not necessary. The negotiators should consider the impact of specific rates on the prices of typical task orders anticipated under the contract. The rates for certain classifications (such as a principal) may exceed the PNO but may not be significant costs in typical task orders. If the final offer is not acceptable, then negotiations will be terminated similar to a FFP contract negotiation.

f. Task Orders.

(1) The negotiation of a FFP task order is very similar to a FFP contract, except that the labor rates, overhead rates, and certain other unit costs or prices (and maybe profit) are already fixed in the IDC. Also, there is a limitation that must be considered in an IDC on the cumulative amount of all orders, and possibly a limitation on the price of individual task orders. Negotiations typically concern the quantity and mix of various position classifications. A task order may be modified, have options, or include work involving minor cost elements that are not in the contract rate schedule.

(2) The SOW of a task order must be within the scope of the IDC (FAR 16.505(a)(2)). For any task order over \$700,000, the contract file must be documented to justify why a task order was used instead of publicly announcing the requirement (UAI/EFARS 36.601-3-

90(c)). The reasons should relate to the basic reasons for using an IDC. Also, the contract file must be documented to justify the basis for issuing a task order under a particular IDC when the order could have been issued under more than one IDC (FAR 16.505(b)(1)). Price cannot be considered.

4-15. Subcontracting Plan. A Small Business Subcontracting Plan is required for any A-E contract over \$650,000 (including any options) with a large business if there are subcontracting possibilities (FAR 19.702, 19.704, 19.705-2 and 52.219-8). See Appendix J for further details. The subcontracting plan is an element of the negotiation process and is made a part of the contract. A change in subcontractors from those proposed on the SF 330 must be consented to by the KO (FAR 44.201-1(c)); see paragraph 4-7(b)(6)).

4-16. Price Negotiation Memorandum (PNM). The negotiators will complete the PNM (FAR 15.406-3 and its supplements) promptly after concluding negotiations. A PNM will discuss the principal elements of the negotiation and the prenegotiation objectives. The PNM will demonstrate that the final accepted price complies with the 6 percent statutory limitation, if applicable. If an audit was performed, the PNM will discuss any deviations from the audit recommendations in the final negotiated price. A PNM shall be prepared, reviewed and approved in accordance with local procedures (UAI/EFARS 15.406-3(a)). Ordinarily, review and approval of a PNM should be concurrent with the review and approval of the final contract instrument.

4-17. Preaward Survey. The selection process addresses the technical capability, production resources and quality assurance methods of the firm. Hence, a short-form preaward survey report (only SF 1403, Preaward Survey of Prospective Contractor (General)) in accordance with FAR 9.106-4(d) is typically adequate. The preaward survey can be initiated after selection approval to avoid delaying award of a contract. The main emphasis of the preaward survey should be checking the financial capability of the firm through Dunn and Bradstreet reports, statements from the firm's bank, official annual financial statements, or other appropriate means. Also, a contractor must be registered in the Central Contractor Registration (CCR) to be eligible for a contract (FAR 4.1102(a)).

4-18. Contract Preparation and Award.

a. General. An A-E contract will be prepared using the uniform contract format in FAR 15.204.1, using SF 252, "Architect-Engineer Contract," as the cover sheet (FAR 36.702(a)). The contract may state a notice to proceed (NTP) date or the KO may send a separate NTP letter after contract award. If a contract is executed by mail, then the KO should sign the contract after it has been signed by the contractor (FAR 4.101). However, if the action is urgent, an award letter (Appendix M) may be used, which also serves as the NTP.

b. Indefinite Delivery Contracts (IDC). In order to satisfy the minimum contract quantity (FAR 16.504), the best practice is to issue the first task order using project funds at the same time the IDC is awarded. If the first task order is not issued simultaneously with

award of the IDC, then the minimum quantity shall be obligated<sup>17</sup> at the time of contract award using project funds, if the contract is customer-specific, or using the appropriate departmental overhead or revolving funds, if the contract serves many customers.

4-19. Task Order Issuance. IDC task orders are prepared using DD Form 1155, Order for Supplies or Services (DFARS 216.505). A DD Form 1155 for an IDC task order need only be signed by the KO. The DD Form 1155 is a NTP.

4-20. NAF Contracts. AR 215-4 specifies the general procedures for NAF contracting. The FAR and its supplements, including the 6 percent statutory limitation, do not apply. Otherwise, the negotiation of an A-E contract for an NAF project should generally comply with this pamphlet.

4-21. Continuing Contracts Clause. USACE contracting officers are authorized to use a special continuing contracts clause in solicitations and contracts for specifically authorized Civil Works projects that are not fully funded. USACE issued a proposed rule in the Federal Register to add two special continuing contracts clauses to the AFARS. The Public comment period is final and the DPAP has authorized USACE to use these clauses. The clauses and the instructions for their use may be found at 75 Federal Register 2463. Discussion on these clauses and their application is currently found in EC 11-2-201.

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<sup>17</sup> Immediately upon award of a task order(s) in sufficient amount to satisfy the minimum quantity, the KO must de-obligate the funds used to award the IDC.



## CHAPTER 5

### Contract Administration and Management

5-1. Introduction. This chapter addresses many, but not all, aspects of A-E contract administration and management. Chapters 6 and 7 address in detail two other very important aspects of A-E contract administration - evaluating performance and enforcing design responsibility, respectively.

5-2. Principles.

a. A-E contracts will be proactively managed to ensure the timely delivery of quality products and services.

b. A-E firms will be treated fairly and professionally.

5-3. General. The administration and management of an A-E contract is a team effort among the KO, contract specialist, contracting officer's representative (COR), other technical personnel, the PM, and others. The primary functions in administering and managing an A-E contract are:

a. Monitoring the A-E firm's performance, ensuring compliance with the contract, and enforcing the responsibility of the firm for the quality of its work.

b. Ensuring the firm has an adequate quality control process, and reviewing the A-E products for conformance with the technical requirements of the contract.

c. Evaluating the firm's performance.

d. Maintaining liaison and direct communications with the A-E firm, and promptly resolving any questions and issues that may arise.

e. Providing required Government-furnished information and materials, and arranging access to work areas.

f. Paying the firm in a timely manner for satisfactorily completed work.

g. Modifying the contract as required to accommodate changes in requirements.

h. Closing out the contract.

5-4. Contracting Officer's Representative (COR).

a. The appointment and responsibilities of a COR are described in DFARS 201.602-2. A COR assists the KO with technical monitoring and administration of the contract. A COR must be a United States Government employee and must be qualified by training and

experience prior to being designated for contract oversight responsibilities. The COR must possess a combination of education, training and experience commensurate with the level of difficulty associated with the project. There is no regulation which precludes a Government employee that participated in the evaluation boards for and/or negotiation of an A-E contract from being a COR on that contract. However, the KO may impose such restrictions if necessary to ensure the integrity of the system of checks and balances.

b. Technical Management of A-E contracts is an engineering function that shall be managed by registered professional engineers/architects from within the engineering element. USACE responsibility, as contracting and engineering professionals, is to ensure qualified personnel are nominated, trained, and appointed as CORs who consistently perform their oversight responsibility effectively, in accord with their appointment. The District/Center Chief of Engineering shall nominate the appropriate technical representative with the requisite technical and administrative training as a Contracting Officer Representative (COR) for A-E contracts or task orders. In special cases, where the District/Center Chief of Engineering determines that the services being provided by the A-E contractor are not fully under the auspices of Engineering Division, such as construction phase services, or mapping/surveying services under Planning or Operations Division, the Chief of Engineering may coordinate with the appropriate organization with the closest oversight of the actual work being performed to obtain a qualified COR nominee. This may be within another division within the District or with another District or Center For example, during construction, an appropriate, qualified person in the field office may be appointed as COR for an A-E contract, especially if the A-E firm is required to provide certain construction phase services<sup>18</sup>. However, the overall responsibility for the technical management of the A-E contract shall remain with the Chief of Engineering.

c. Training. Contracting Officers Representatives (COR) are required to be knowledgeable in the type of contract actions they oversee and knowledgeable of the technical requirements of the work being performed. Specific training requirements for Contracting Officers representatives are currently detailed in Procurement Instruction Letters PIL 2011-02 and PIL 2008-10-2. PIL 2008-10-2 notes all CORs must attain a minimum of 22 hours of initial training\* and every three years attain six (6) additional hours of refresher training in contracting and/or topics related to COR duties. COR's must also complete:

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<sup>18</sup> Construction phase services include, for example, design modifications to accommodate unforeseen site conditions or criteria changes, review of contractor value engineering change proposals, site visits to evaluate the acceptability of completed construction or monitor certain tests, review of shop drawings, and assistance with commissioning.



(1) DAU Continuous Learning Module (CLC 106) “Contracting Officer Representative with a Mission Focus” (8 hours web based), initial training and every three years as refresher training. (<http://training.dau.mil>)

(2) DAU Continuous Learning Module (CLM 003) “Ethics Training for Acquisition and Logistics” (2 hours web based), initial training and every three years as refresher training. (<http://training.dau.mil>)

(3) Individuals monitoring A-E contracts are required as part of their initial training to complete PROSPECT Course 004 “A-E Contracting” (36 hours resident) or DAU Course “Architect-Engineer Contracting” (40 hours resident.) Also available is PROSPECT Course 366 “Construction Contract Administration” (36 resident hours) as part of the required training (refresher).\* Prospect Course 004 can count as the initial COR training requirement.

(4) Optional training to meet the remaining initial and refresher training hour requirements are DAU Continuous Learning Module CLC 011 “Contracting for the Rest of US” (2 hours web-based); U.S. Army Logistics Management College Course ALMC-CL “Contracting Officers Representative Course” (32 hours resident); DAU Continuous Learning Modules located at <http://training.dau.mil>; Federal Acquisition Institute “COR/COTR Training” located at the Federal Acquisition Institute website <http://www.fai.gov>; and/or Center or District Chief of Contracting local COR Training courses.

(5) Procurement Instruction Letters (PIL) on CORs are frequently updated. The latest version for USACE employees may be found at on the TEN Website and <https://kme.usace.army.mil/CoPs/contracting/default.aspx>

5-5. Quality Management. The quality management procedures, practices and tools in ER 1110-1-12 “Engineering and Design - QUALITY MANAGEMENT” will be used to ensure that the A-E firm delivers excellent engineering and design services and products to the customer on schedule and within budget.

5-6. Indefinite Delivery Contracts (IDC).

a. Management of Contract Limitation. An IDC may be used by more than one organizational unit. Hence, a process must be established for all IDCs to reserve an estimated amount for a planned task order and to track the actual prices of orders to ensure the limit for the contract or contract period (if applicable) is not exceeded.

b. Contract Limitations. See UAI/EFARS 36.601-3-90 regarding limitations on the duration and other aspects of A-E IDCs, and waivers thereof. See FAR 16.5 on general guidance for IDCs, and paragraph 4-18.b regarding the minimum quantity.

c. Ordering. See FAR 16.505(b)(1). When two or more IDCs contain the same or overlapping scopes of work (including, but not necessarily, multiple award contracts) so that a particular task order might be issued under more than one contract, the contract file must be

documented to show the basis for selecting a particular contractor for negotiation of a task order.

d. Installation Use of IDCs. When authorized by a USACE command, installations may use USACE A-E IDCs (AFARS 5136.600-90). Public works personnel, who meet the qualification requirements for a COR, may be appointed as COR to administer the task order. Also, if mutually agreed between USACE and the installation, an installation KO may be appointed as an ordering officer to issue task orders. In any case, the USACE KO (PCO) shall provide written instructions to the installation KO and public works facilities engineering personnel regarding the limitations and procedures for the negotiation, issuance and administration of task orders. These instructions will address USACE and installation responsibilities, and include:

- (1) SOW preparation.
- (2) Requirements for preparation of an IGE (FAR and UAI/EFARS 36.605, and Appendix Y).
- (3) Negotiation procedures, including compliance with the 6 percent statutory limitation (DFARS 236.606-70). Also indicate that any failure to reach agreement must be referred to the USACE KO.
- (4) Preparation of the DD Form 1155.
- (5) Funding and payments.
- (6) Requirement for design within the construction funding limitations (FAR 36.609-1).
- (7) Enforcing the responsibility and liability of the A-E firm for design errors or deficiencies (FAR 36.608 and 36.609-2, and Chapter 7).
- (8) Resolution of disputes.
- (9) Preparation of performance evaluation (FAR and UAI/EFARS 36.604, and Chapter 6).
- (10) Contract documentation.

#### 5-7. Payments.

a. FAR 52.232-10 is the payment clause for A-E contracts. The payment clause and process should be discussed with an A-E firm during negotiations. The clause allows for monthly progress payments. The contract (typically under Section G, Contract Administration Data) should specify the format of the payment request (typically ENG Form 93, Payment Estimate - Contractor Performance is used) and any required supporting data, such as a written

description of the work completed in the payment period, a bar chart of work progress, and example work products. Payments are by electronic funds transfer in accordance with the Debt Collection Act of 1996, and must be made promptly in accordance with FAR 52.232-26, Prompt Payment for Fixed-Price A-E Contracts. The due date for making invoice payments for work or services completed acceptably by the Contractor is the later of the following dates:

(1) The 30<sup>th</sup> day after the designated billing office receives a proper invoice from the Contractor.

(2) The 30<sup>th</sup> day after Government acceptance of the work or services completed by the Contractor.

(3) If the designated billing office fails to annotate the invoice or payment request with the actual date of receipt at the time of receipt, the payment due date is the 30<sup>th</sup> day after the date of the Contractor's invoice or payment request, provided the designated billing office receives a proper invoice or payment request and there is no disagreement over quantity, quality, or Contractor compliance with contract requirements

b. The COR, and/or other technical staff may also visit the A-E firm's office to verify progress. The COR will reduce the payment estimate, if warranted, to conform to the actual satisfactory progress and promptly notify the A-E firm in accordance with the prompt payment clause (FAR 52.232-26). Typically, the KO delegates the authority to approve progress payments to the COR. However, the KO usually approves the final payment.

c. The payment clause allows for up to 10 percent of an approved progress payment to be retained to protect the interests of the Government. However, retainage should not be automatically withheld from each payment if the COR is certain of the progress and the quality of the completed work. Retainage should not be held in an amount greater than, or for a period longer than, absolutely needed to protect the Government. All retainage should be paid when discrete phases of the project are satisfactorily completed. Retainage shall never be applied in a punitive manner. Also see the guidance in FAR 32.103 which is equally applicable to A-E contracts.

5-8. Subcontract Reporting. A contractor must report not less than semiannually on its progress in complying with the subcontracting goals agreed to in the subcontracting plan using SF 294, Subcontracting Report for Individual Contracts, and SF 295, Summary Subcontract Report (FAR Clause 52.219-9). The contract administration team must ensure that the A-E firm makes a good faith effort to comply with the subcontracting plan and submits the required reports to the KO in a timely manner. Compliance with the subcontracting plan is an attribute on the A-E performance evaluation form. A contractor may be assessed liquidated damages for not complying with its subcontracting plan. See FAR Clause 52.219-16 Liquidated Damages—Subcontracting Plan.

5-9. Resolving Performance Problems. Proactive day-to-day oversight of an A-E contract by the COR, and/or other technical staff, including frequent communications with the firm, will prevent most A-E performance problems. However, the A-E firm must be promptly

advised whenever its performance is marginal or unsatisfactory. If performance continues to be “marginal” or “unsatisfactory”, then the Government shall take stronger action to improve the firm’s performance. The following methods, in general order of increasing impact and severity, should be used to resolve A-E performance problems:

a. Verbal notice to the firm by the COR. Document this verbal notice in the COR’s and official contract file. (The COR should keep the KO informed on any corrective action.)

b. Letter to the firm from the COR citing specific deficiencies and required corrective action in accordance with the terms and conditions of the contract.

c. Meeting between the firm and the COR, Engineering Division representative, and possibly PM. Document the meeting in the COR and official contract file.

d. A letter from the KO referencing the COR letter and required corrective action and lack of progress with required corrective action. This letter should also establish a first meeting among the firm, the KO, the COR, the Chief of Engineering or appointed representative and possibly the PM. Document the meeting in the COR and official contract file. At this meeting inform the firm that an interim “marginal” or “unsatisfactory” performance evaluation will be prepared if its performance does not promptly improve, and that this evaluation could affect its selection for other contracts. (See Chapter 6). Document this meeting in the COR and official contract file, and provide copy to the KO.

e. Issue an interim “marginal” or “unsatisfactory” performance evaluation in accordance with the procedures in Chapter 6.

f. Meeting between the firm and the KO and COR, Chief of Engineering, and PM. Document this meeting in the COR and official contract file.

g. A “cure” notice to the firm from the KO (FAR 49.402-3(c) and (d)). The cure notice must cite the specific deficiencies, required corrective actions, and suspense date.

h. A “show cause” notice to the firm from the KO (FAR 49.402-3(e)), notifying the firm of the possibility of termination.

i. Issue a final "marginal" or “unsatisfactory” performance evaluation.

j. Termination for default (FAR 49.4), which shall always be accompanied by a final “unsatisfactory” performance evaluation.

Also, see Chapter 7 of this EP regarding an A-E firm's responsibility for errors or deficiencies in design or other services discovered after completion of the contract work.

5-10. Contract Closeout.

a. An A-E contract must be closed out promptly after satisfactory completion and delivery of all required services and products. However, in the case of an A-E contract for the design of a particular construction project, A-E services are often required during the construction period that cannot be definitively anticipated or priced when the contract is awarded (or even when the design is completed). The A-E contract in this instance should typically remain open to readily accommodate these potential changes.

b. In order to preserve the Government's ability to add work during the construction period that cannot be quantified or priced at the time of the award of the original contract, the synopsis and the scope of an A-E contract for the design of a particular project should include a statement that additional work is contemplated (list the types of possible services such as in the footnote 21) during the construction period, and may be added pursuant to the Changes clause (FAR 52.243-1, Alternate III). It is not acceptable to withhold earned payment from a firm as a means to keep the contract open.

c. FAR 4.804 provides general procedures for contract closeout. For an A-E contract, the following additional actions are required:

- (1) All liability actions resolved.
- (2) Performance evaluation(s) prepared, approved and distributed.
- (3) Return of all Government-furnished materials.
- (4) Release of claims executed.
- (5) Final SFs 294 and 295.



## CHAPTER 6

### A-E Contractor Performance Evaluation

#### 6-1. Principles.

- a. Accurate and timely A-E contractor performance evaluations support the USACE objective of continuously improving the quality of A-E services and products.
- b. The performance of A-E firms shall be evaluated fairly and objectively. Ratings are ultimately the decision of the Government and shall not be subject to negotiation with A-E firms. However, any rating and especially "marginal" and "unsatisfactory" may be rebutted by A-E firms in accordance with the procedures herein.
- c. A-E firms shall be kept apprised of the quality of their work throughout contract performance and shall be notified promptly of completed performance evaluations through the Architect-Engineer Contract Administration Support System (ACASS).

#### 6-2. Responsibilities.

- a. Reviewing Official (RO) will normally be the Chief of the Technical Division in Charge of Engineering in each operating command<sup>19</sup> and is responsible for the A-E performance evaluation process in the command. For most Districts and Centers, the Chief of Engineering or his/her Deputy will be assigned as the Reviewing Official (RO) for ACASS ratings. The RO is responsible for designating the ACASS Assessing Official (AO), facilitating timely review of performance evaluations, and signing the evaluation. It is recommended that the RO remain the Chief of the Engineering function for both the design phase and the construction phase services portions of Architect Engineer contracts. The RO provides guidance to the KO when disputes arise from performance assessments.
- b. The Senior Command Official (SCO), also termed the Senior Reviewing Official (SRO) (or designated representative) is a senior level employee and is usually the Chief of the District or Center Contracting Office. The Senior Command Official assures procedures required by FAR 36.604 and 42.215, Performance Evaluation, are in place and followed.
- c. The Contracting Officer (KO) assures procedures required by FAR 42.1502 and other applicable policies, are in place and followed for assigned contracts. It is the responsibility of the KO to assure contract evaluations are performed in a fair, objective and timely manner. When an interim or final marginal or unsatisfactory performance evaluation is prepared in ACASS it is also required that the KO provides either a separate written notification advising the A-E firm of this evaluation or that the KO signs the ACASS evaluation in their role as an additional AO. Focal Points are required to assign Contracting Officers as an additional AO for the purposes of receiving electronic notifications during the

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<sup>19</sup> See definition in paragraph 2-2.a.

evaluation process and determining the level of/need for involvement in performance evaluation input.

d. The Assessing Official (AO) is the person responsible for evaluating the contractor performance. The AO has overall responsibility for monitoring contractor performance and reviewing input from the project delivery team and the contractor. The AO conducts an impartial review, signs and processes the performance evaluation. The AO may assign an Assessing Official Representative (AOR) to assist in the preparation, coordination and documentation of performance evaluations. Only the AO has the functional ability in ACASS to sign and forward the evaluation to the contractor and the RO. The AO may also be the USACE Contracting Officer's Representative (COR) for the contract or task order. For the design phase of an AE contract, the AO is usually the technical division engineering manager overseeing the contract. Depending on the organizational structure of the District, the AO may also be the section or branch chief and other section/branch managers would then be assigned as the AOR. This procedure would be a means of assuring workload distribution and assuring evaluations can logistically be performed in a timely manner. For the construction phase service evaluations the AO is typically the technical division's field construction manager responsible for construction contract administration and quality assurance. This individual is usually the Area Engineer or the Resident Engineer, and/ or may also be the ACO or COR for the contract. AOR could be construction project or office engineers who would provide the support to assure performance evaluations are performed in a timely manner.

e. The Focal Point (FP) is responsible for the collection, distribution, and control of evaluations. In accord with written direction, Focal Points provide ACASS and CCASS system access (create User IDs) for the AO, AORs, RO, KO, and others for a specific contract. The Focal Point shall ensure that contracts meeting the applicable thresholds are registered within 30 days of award and shall auto-register contracts to the maximum extent possible. The Focal Point will assist the AO and if applicable AOR's in implementing the automated ACASS/CCASS process by providing training and helping with administrative matters to ensure that evaluations are completed in a timely manner and are of high quality.

f. After construction contract bid opening for contracts using an A-E design, a final design-phase performance evaluation of the A-E shall be jointly prepared by the engineers, architects and other technical personnel who reviewed and accepted the A-E firm's work. After construction completion (i.e., beneficial occupancy or substantial physical construction completion) of USACE managed design-bid-build construction projects, the Area Engineers and/or Resident Engineers are responsible for preparing the additional construction phase evaluation of A-E performance.

6-3. Regulatory Background. This pamphlet implements

a. FAR 42.1502, that requires performance of A-E contractors be evaluated and files of performance evaluations be maintained for use in selecting firms for A-E contracts.



- b. DFARS 236.604, which requires a separate performance evaluation after completion of construction and specifies that all DoD agencies forward completed evaluations to the ACASS “central data base”.
- c. UAI/ EFARS 36.604, which amplifies certain requirements of the FAR and DFARS.
- d. Procurement Instruction Letter (PIL) 2011-04, Contractor Performance Evaluations
- e. FAR 9.104-1(c) which requires contractor responsiveness evaluations be recorded and reviewed as part of the Responsible Prospective Contractor pre-award review.

(1) DOD Architect-Engineering Contract Administration Reporting System (ACASS) Policy Guide, May 2010:

<http://www.cpars.csd.disa.mil/cparsfiles/pdfs/ACASSPolicyManual.pdf>

***Note: the ACASS Policy Guide uses both “Assessment” and “Evaluation”, while USACE uses the word Evaluation for the recording contractor performance.***

(2) ACASS <https://www.cpars.csd.disa.mil/cparsfiles/acass/acassref.htm>.

#### 6-4. General Procedures.

a. Implementation. Per FAR 9.104-3(b) past performance evaluations are significant because the evaluations establish whether or not a prospective A-E firm is responsible or non-responsible. Additionally, the quality of the firm’s past performance is important in determining their ability to respond to Government requirements for A-E services. USACE implements the requirements of FAR 42.1502 (f) and FAR 42.1503 (a) by designating the Chief of the Technical Division or his/her deputy as the Reviewing Official (RO). This is the individual who is functionally responsible for engineering services of the command, including services obtained via an A-E contract. The RO will establish written procedures, including a tracking system, to ensure the timely preparation, approval and distribution of all required A-E evaluations in accordance with this pamphlet. A-E evaluations shall be scheduled events in the management plan for a project and final evaluations are due within 120 calendar days of the negotiated contract completion date. The Contracting Officer has overall responsibility assuring the procedures are proper, fair, and performance is recorded in a timely manner.

b. Contracts Requiring Performance Evaluation. Performance evaluations may be prepared for lesser contracts, but performance evaluations are required for all contracts<sup>20</sup> in excess of \$30,000 including individual task orders for A-E services in excess of \$30,000.

Design services provided under a design-build contract are not given a separate A-E performance evaluation; however, coordination between the Construction Chief and the Engineering Chief is necessary to assure that an A-E firm’s performance under design-build

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<sup>20</sup> Exclusive of IDCs, which are evaluated on the basis of individual task orders.

contracts is reviewed and recorded in CCASS. Therefore, the quality of the design services in a design-build contract will be addressed in the remarks block 20 section on the construction performance evaluation form (DD Form 2626). The DUNS number and name are to be included in 'Description and location of work', Block 7 so that it can be found when source selection boards search for the firm in the Past Performance Information Retrieval System (PPIRS). An after-construction evaluation of an A-E firm who prepared a design-build request for proposal with a partial design is NOT performed.

c. Preparation of ACASS Evaluations.

(1) A performance evaluation shall be jointly prepared by the Government engineers, architects and other technical personnel who reviewed and accepted the A-E firm's work, as recommended by FAR 42.1502. Sufficient effort must be devoted to this function so that thorough and fair evaluations are completed in a timely manner. Additional guidance is available at the ACASS Policy Manual at the CPARS web site, <https://www.cpars.csd.disa.mil/cparsfiles/pdfs/ACASSPolicyManual.pdf>.

(2) Performance evaluations (except marginal or unsatisfactory) shall be completed within 120 days of the designated milestones in paragraphs 6-7 and 6-8 of this EP. Additional time generally will be required for evaluations with an overall rating of "marginal" or "unsatisfactory" if the evaluation is rebutted by the A-E firm (see paragraph 6-10). Do not wait for fiscal close-out of the contract to do the evaluation.

d. Evaluation Form. Performance evaluations shall be prepared in accordance with the instructions in Appendix BB of this EP and the ACASS Policy Manual (above).

e. ACASS Procedures.

(1) Performance evaluations shall be prepared in the Architect-Engineer Contract Administration Support System (ACASS) sub-module of the Contractor Performance Assessment Reporting System (CPARS), at <http://www.cpars.csd.disa.mil>. ACASS utilizes the DD 2631 Form in accordance with DFARS 236.604(a). The Engineering Chief of each operating command shall appoint an individual to serve as the "Focal Point" for the system. The Focal Point (FP) shall be responsible for assigning access in ACASS to individuals for contracts to be evaluated. The FP shall have the following individuals promptly assigned as a minimum, for each contract: Assessing Official (AO), Reviewing Official (RO) (Engineering Chief), and contractor representative from the A-E firm.

(2) The AO will prepare the evaluation electronically. After the draft evaluation is prepared and signed by the AO, the system automatically routes it to the Contractor Representative for inclusion of remarks in the evaluation. After the Contractor Representative prepares and returns their remarks (or after 30 days if he/she does not respond), the system notifies the AO via an e-mail. If the AO believes that the RO is likely to disagree with the rating or comments, then the AO will ask the RO to review the draft evaluation BEFORE the evaluation is forwarded to the contractor for comment. The AO will review the Contractor Representatives remarks. The AO may modify the evaluation at this point if the

contractor provided compelling reasons for doing so. Following this review, the evaluation is then automatically sent, by the AO, to the RO for approval and electronic signature. The RO can do this by accessing the evaluation via the “evaluation status report” option in ACASS. However, only the AO will be able to make suggested changes to the draft evaluation. If the RO disagrees with ratings or comments after it has been automatically routed to the RO by the AO, then the navy help desk, [webptsmh@navy.mil](mailto:webptsmh@navy.mil), will need to be contacted to have the evaluation either rolled back to “drafted” so that the AO can change the original evaluation and re-route it to the contractor, or rolled back to “reviewed” so that the AO can create a modified evaluation which is permanently attached the original evaluation.

(3) A- E firms automatically receive e-mail notification upon completion of any evaluations prepared within ACASS, and may retrieve the evaluation from ACASS, or the Past Performance Information Retrieval System (PPIRS) at <http://www.ppirs.gov> by using their Dun & Bradstreet (DUNS) number and the Marketing Partner Identification Number (MPIN) to access their information. The MPIN number is selected when the firm registers in the Central Contractor Registry (CCR). Additional information about the MPIN number is available at the following CCR link: <http://www.ccr.gov/vendor.asp#4.5>.

f. General Guidance on Assignment of Overall Ratings. The overall rating is based on the specific ratings in the discipline and attributes matrices. While all evaluations involve individual judgment, the following general guidance is given to promote uniformity.

(1) "Exceptional." -- All or almost all of the significant disciplines and attributes are rated "exceptional." No discipline or attribute should be “marginal” or "unsatisfactory" in an “exceptional” performance evaluation.

(2) "Very Good." A majority of the significant disciplines and attributes are rated "exceptional" or “very good.” No significant discipline or attribute should be “marginal” or "unsatisfactory" in a “very good” performance evaluation.

(3) "Satisfactory." No significant discipline or attribute should be "unsatisfactory." Quality of final work is acceptable in an overall sense; however, it may have been necessary to get the firm to correct some unacceptable work.

(4) "Marginal." One or two significant disciplines or attributes are rated "unsatisfactory," or all or almost all disciplines or attributes are rated “marginal.” An unusual amount of extra effort and follow-up on the part of the Government was required in order to get an acceptable product.

(5) "Unsatisfactory." Several significant disciplines and attributes are rated "unsatisfactory." This rating is appropriate for a firm that does not produce acceptable work despite extensive effort by the Government. This rating is required for all contracts terminated for default.

g. Remarks. The remarks in Item 20 of the DD Form 2631 must support and be compatible with the overall rating. Remarks by the AO should contain sufficient detail to

provide future Source Selection Officials with a clear understanding of basis for the ratings and all major events that occurred during the life of the contract. A rating of “marginal” or “unsatisfactory” must be fully explained in the Assessing Official’s remarks. Also, the remarks should not suggest that the firm really did “marginal” work when the overall rating is “satisfactory.” The Remarks section contains remarks by the Assessing Official, the Contractor’s Representative, and the Reviewing Official.

h. Small Business Subcontracting Plan. The ACASS evaluation contains a rating element for “Implementation of Small Business Subcontracting Plan”. This element is used to assess compliance with all terms and conditions in the contract relating to small business participation, including achievement on each individual goal stated in the contract or subcontracting plan. Subcontracting Plans are required for the base award on IDCs. Subsequent task orders do not require subcontracting plans, but the contractor’s performance on subcontracting shall be monitored and discussed, as appropriate.

i. Safeguarding Evaluations. Completed A-E performance evaluations are classified as "For Official Use Only" in accordance with AR 25-55 Section 2, “Markings”. Evaluations prepared in ACASS are automatically marked "For Official Use Only". A firm's evaluations will only be given to proper representatives of the firm, and to representatives of a Federal agency having a legitimate need for this information.

j. Contract Negotiation. The performance evaluation form and procedures shall be discussed with an A-E firm during contract negotiations. The Government will clearly describe its performance expectations, and stress the importance of the performance evaluation in future selections. The Price Negotiation Memorandum (PNM) will indicate that this performance expectations discussion took place. It is important at the award phase of the contract that the Government discusses and obtains the names and email addresses of one or more Contractor Representatives for the ACASS evaluation process. Focal point personnel need to be informed of these contractor individuals at this time. The names of these individuals should be documented in the PNM text.

k. A-E Office Location. Enter in Item 6 of the DD Form 2631 the A-E office location that had the lead role in performing the work. This may not be the office that signed the contract. The evaluation will not be useful or relevant in future selections if it does not reflect the actual performing office.

l. Responsible Command. When more than one command is involved in the execution of a project, the command having KO authority for administration of the A-E contract is responsible for ensuring a complete A-E performance evaluation is prepared. The responsibility for the A-E performance evaluation shall be included in the overall management plan for the project (see ER 5-1-11).

m. A-E Contracts Awarded for Installations.

(1) This chapter also applies to A-E contracts awarded by USACE for administration by Army installations or other activities. As required by paragraph 5-6.d, the USACE KO

will issue instructions to the installation on the preparation of performance evaluations, including preparation of the A-E evaluation after completion of construction when the installation is responsible for managing the construction contract.

(2) If a person at the installation has been delegated COR authority for the A-E contract, this person may be designated as the rating official (Assessing Official). Otherwise, the Chief of the Engineering Organization in the Directorate of Public Works or similar engineering office charged with the oversight responsibility for the A-E contract will act as the rating official. The reviewing official will remain the Engineering Chief, or Assistant Engineering Chief of the supporting USACE district.

#### 6-5. Monitoring Performance.

a. General. The quality of an A-E firm's products and services must be adequately documented throughout the performance of the contract and the firm kept apprised of the quality of its work. An A-E firm will be notified immediately upon recognition of marginal or unsatisfactory performance as outlined in paragraph 5-9.

b. Appraisals. Operating commands shall establish procedures to appraise the quality of each A-E submittal, using the discipline and attribute matrices on the DD Form 2631. The appraisals will be supplemented as appropriate with narrative that supports the rating and will assist the PM and COR in communications with the A-E on submittal quality. These appraisals will be made by each of the pertinent disciplines. It is particularly important to adequately document any area of unsatisfactory or exceptional performance. These appraisals constitute the basis for interim and final performance evaluations and shall be retained in the contract files.

#### 6-6. Interim Evaluations.

a. General. An interim performance evaluation (FAR 42.1502) will be prepared under the following conditions, in accordance with the procedures in paragraph 6.7.b:

(1) A cumulative, interim evaluation will be prepared not less frequently than annually for a task order contract or a fixed price or cost reimbursable contract with a performance period anticipated to exceed 18 months (UAI/EFARS 36.604(S-102)).

(2) An interim evaluation will be prepared whenever a project is deferred for more than 3 months if a substantial portion of the work has been completed.

(3) An interim evaluation will be prepared when a firm's performance is "marginal" or "unsatisfactory" after reasonable steps have been taken by the Government to improve the firm's performance (see paragraph 5-9). An interim evaluation formally puts a firm on notice that its performance is inadequate in order to encourage improvement and to make the information on the firm's performance available to other contracting offices in a timely manner. An interim "marginal" or "unsatisfactory" evaluation provides a very strong basis for a final "marginal" or "unsatisfactory" evaluation (see paragraph 6-10) if a firm's performance does not improve.

(4) At any other time considered as appropriate by the Government.

b. Approval and Distribution. Interim evaluations will be approved and distributed in accordance with paragraph 6-9 of this EP. All evaluations prepared in the ACASS system are automatically routed to the firm for inclusion of their remarks or rebuttal. The basis for an interim “marginal” or “unsatisfactory” evaluation must be well documented. An interim “marginal” or “unsatisfactory” evaluation is subject to the rebuttal process in paragraph 6-10, and will not be finalized in ACASS until the rebuttal process is completed. Interim evaluations that have been transmitted to ACASS will be replaced by the final evaluation. Any interim “marginal” or “unsatisfactory” evaluations and a summary of any actions the firm took to remedy the deficiencies shall be recorded in Item 20, "Remarks" of the final evaluation.

6-7. Evaluation of A-E Performance after Completion of Design or Engineering Services.

a. General. A final evaluation of design and engineering phase services will be prepared for each task order or FP or CR contract equal to or exceeding \$30,000. For engineering services not directly related to design, the evaluation shall be prepared after acceptance of the A-E products. For design services, the evaluation shall be prepared after the construction bid opening, provided the bid opening is scheduled to occur within 3 months of design completion. Otherwise, the evaluation will be prepared after completion of the design.

b. Preparation. All performance evaluations shall be prepared and automatically routed within the ACASS sub-module of the CPARS system. The final performance evaluation by the Assessing Official will be based on evaluation input from the technical reviewers of the A-E's products/services, and input received from the PM and customer, as well as any interim evaluations. The Assessing Official (AO) will assign the overall rating and electronically sign the draft evaluation and route it to the Contractor's Representative via the ACASS system.

c. Contractor Response: The Contractor Representative has 30 days to add their comments, sign, and return the evaluation to the AO. The AO will consider the Contractor Representative's comments and modify the evaluation if necessary, prior to forwarding the evaluation to the Reviewing Official (RO).

d. Final Evaluation Signature. The RO will review the evaluation, provide narrative comment, and sign the evaluation. If controversial or procurement-sensitive issues are involved in the evaluation, then the RO should coordinate with other members of the project delivery team prior to completing the RO's review and signature. Once signed a copy of the evaluation is transmitted to the Past Performance Information Retrieval System (PPIRS). The RO will notify the PM, and Senior Command Official (SCO) that the evaluation has been completed and is available in ACASS and PPIRS.

e. Termination. A performance evaluation shall be prepared for a task order or a fixed price or cost reimbursable contract terminated for any reason prior to completion of the work

if the value of services completed at termination exceeds \$30,000 or if the contract was terminated for default.

6-8. Evaluation of A-E Performance after Substantial Physical Completion of Construction.

a. An additional evaluation of A-E performance (referred to herein as the A-E construction-phase evaluation) shall be prepared after substantial physical completion of each construction project based on an A-E design where the price of the A-E services (performed by task order or FP or CR contract) meets or exceeds \$30,000.

b. Preparation.

(1) During construction, the Area Engineer/Resident Engineer (AE/RE) is responsible for assessing the accuracy and completeness of the A-E firm's work as revealed during construction of the A-E's design and the A-E's responsiveness in resolving design problems that arise during construction. Sufficient documentation shall be maintained by the AE/RE to support the A-E construction-phase evaluation. Use of the discipline and attribute matrices on the DD Form 2631 can assist in documenting performance during construction and in communicating with the A-E firm on design issues. Prior to sending the evaluation to the contractor's representative for comment, the AE/RE will coordinate the evaluation with the COR for the A-E design contract and the PM.

(2) The AE/RE is responsible for preparing the A-E construction-phase evaluation in the ACASS system, assigning the overall rating, and electronically signing the form as the construction phase services assessing official. Appropriate use of USACE's Resident Management System (RMS) by the AE/RE staff supports the efficient collection, evaluation and documentation of the A-E construction-phase evaluation in ACASS. However, since ACASS does not interface with RMS, AE evaluations will still be prepared in ACASS.

c. Review and Approval. If evaluations of the construction-phase services are prepared by an AO in the Construction Division, then the AO will coordinate ratings with the engineering-phase RO before routing the draft evaluation to the Contractor's Representative. The A-E construction-phase evaluation will not be modified without the concurrence of the AE/RE, COR for the design contract, and the PM. The RO will promptly review and provide narrative comments and sign the A-E construction-phase evaluation after it is forwarded by the AO.

(1) Any significant differences in assessment between the design-phase and construction-phase evaluations will be resolved prior to sending the evaluation to the contractor's representative for comment and also before approval of the evaluation. This may require reevaluation of some aspects of the design by the personnel who reviewed the A-E firm's work during the design phase. Particular attention should be given to discipline or attribute ratings that could possibly reflect a misunderstanding of the A-E firm's responsibility. Any questions of this nature should be discussed with the AE/RE and the construction contract modification file reviewed if necessary.

(2) As a consequence of the A-E construction-phase evaluation, or other factors, the Reviewing Official will provide appropriate narrative comment on the ratings given for disciplines or attributes in the design evaluation.

(3) It is important that AOs realize the importance of their role in the evaluation process and assure coordination among all interested persons prior to their signing the evaluation. The Reviewing Official may comment but cannot change the AO rating.

d. Review of A-E Liability. The COR will obtain the A-E liability information for Item 11 of the DD Form 2631 from the A-E Responsibility Coordinator (AERC; see Chapter 7). Refer to the instructions in Appendix AA. An updated evaluation will be prepared in ACASS as specified in paragraph 6-9 b.(2) if there is a later change in the A-E liability information. Completion of an evaluation shall not be delayed because liability determinations have not been resolved.

#### 6-9. Approval, Distribution and Revision of Evaluations.

a. Approval. The Reviewing Official (RO) for A-E performance evaluations shall be the Chief of the Technical Division in charge of engineering or his/her Deputy unless a proposed “marginal” or “unsatisfactory” evaluation is rebutted (see paragraph 6-10). The RO will review the performance evaluation and the supporting documentation to assure that the overall rating is justified. The date of the reviewing official's electronic signature (in ACASS) is the official date of the evaluation.

#### b. Revisions and Corrections.

(1) Revisions and corrections of the ACASS evaluation process should only occur during the draft evaluation process. Prior to forwarding the draft evaluation to the contractor, the AO is required to coordinate the team’s input into the evaluation. The contractor will review the draft evaluation which is delivered via automatic notification, add their comments, sign, and return the evaluation to the AO. The AO should advise team members and the RO of any A-E contractor rebuttals and coordinate these with the USACE project team. However, no changes shall be made in an A-E design and construction-phase evaluations without concurrence of the Engineering, and/or Construction team members. The Reviewing Official enters remarks which may discuss various aspects of the evaluation, but the RO cannot change the AO evaluation. When the RO signs the evaluation, a copy of the evaluation is transmitted to PPIRS.

(2) Revisions to an evaluation after the AO forwards it to the RO are to be avoided because once completed by the AO, the evaluation must be rolled back to the AO by the CPARS Navy Help Desk. This process is cumbersome and although can be accomplished, it wastes time and effort. Therefore proper coordination of an evaluations is important prior to electronic signature by the AO.

(3) A completed evaluation may be updated to change factual information (such as Items 9, 10 or 11) or correct obvious clerical errors without the approval of the reviewing



official. An e-mail clearly identifying the changes, contract number, evaluation type, and date shall be sent to the CPARS Navy Help Desk at [webpmsmh@navy.mil](mailto:webpmsmh@navy.mil). The CPARS Navy Help Desk will make the requested changes or “roll back” the status of the evaluation so the AO can make the changes, depending upon the nature and scope of the revisions.

6-10. Marginal and Unsatisfactory Performance.

a. General. This section implements FAR and UAI 36.604, and only applies to final evaluations.

b. Documentation. Documentation of “marginal” or “unsatisfactory” performance must be adequate to support the performance rating. It is very important to document the steps taken by the Government to get the A-E firm to improve performance (see paragraph 5-9), and the A-E firm's responses. Records should be made of all telephone conversations and meetings with the A-E firm concerning performance. Generally, a final “marginal” or “unsatisfactory evaluation” should have been preceded by an interim “marginal” or “unsatisfactory” evaluation.

c. Preparation and Notification.

(1) A performance evaluation shall be prepared in the ACASS system, documenting the marginal or unsatisfactory performance.

(2) ACASS automatically notifies via e-mail the Contractor Representative that the AO has sent them a draft evaluation and that they have 30 days to respond. However, the AO preparing the “marginal” or “unsatisfactory” evaluation shall also manually (e.g., telephone call, face-to-face meeting) notify the Contractor Representative that the draft evaluation has been prepared and he/she has 30 days during which he/she may either rebut the rating or add his/her remarks electronically to the evaluation. An interim or final “marginal” or “unsatisfactory” evaluation shall have been previously discussed with the A-E firm. Since such an evaluation may dramatically affect the A-E firm, it is in the best interest of the Government that poor performance has led to a below standard rating, and contract problems have been previously communicated clearly. The Contracting Officer becomes the RO signature authority for final unsatisfactory and marginal evaluations.

(3) If the A-E firm does not respond by entering their remarks in ACASS or by notifying the Government that he/she intends to rebut the rating within the allotted time, the evaluation shall be finalized by the AO and RO.

d. Rebuttal Process.

(1) If an A-E firm rebuts a rating, a meeting of the A-E firm will be scheduled with the Senior Command Official and the Contracting Officer. The firm will be advised of the fact-finding nature of this meeting and provided with the evidence that will be submitted to the Senior Command Official for consideration. Every effort will be made to fully explore the major performance deficiencies in the meeting to enable the Senior Command Official to

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make a decision without the need for additional meetings or evidence. The firm will be given sufficient time to prepare for this meeting. The meeting with the Senior Command Official will be held within 30 days (FAR 42.1503) of the Government's receipt of the firm's rebuttal, to the maximum extent possible.

(2) Following the meeting with the A-E firm, the Senior Command Official will decide whether to support or change the proposed rating. If the Senior Command Official decides to change the rating, then the contract file will be documented to show the reason(s) for the change in rating. The Navy help desk must be notified to have the evaluation "rolled back" so the AO can modify the draft evaluation, sign, and route the revised evaluation to the firm. The firm may at this time add comments to Item 20, "Remarks." The Senior Command Official shall sign as the reviewing official. The KO will send a letter to the A-E firm advising of the Senior Command Official's decision.

(3) Performance evaluations that are rebutted by A-E firms will not be finalized in ACASS and transferred to PPIRS until the above rebuttal process is completed (UAI/EFARS 36.604(4)). (Electronic signature by the Reviewing Official finalizes evaluations in the ACASS system).

## CHAPTER 7

### A-E Responsibility Management Program

7-1. Introduction. This chapter addresses actions to be taken from the discovery of an A-E error or deficiency to the issuance of a final contracting officer's decision (COD) against the A-E firm under FAR 52.233-1, the contract "Disputes" clause. Subsequent action is covered by FAR 33.2, Disputes and Appeals.

7-2. Principles.

a. In accordance with FAR clause 52.236-23, "Responsibility of the Architect-Engineer Contractor," an A-E firm is responsible for the quality of its products and services and is liable for damages to the Government caused by its negligence or breach of contractual duty. The A-E Responsibility Management Program (AERMP) is a formal process for holding A-E firms accountable for their work and recovering damages to the Government caused by A-E firms.

b. The goals of the AERMP are to:

(1) Maintain and improve the quality of A-E services and products.

(2) Hold A-E firms responsible for their work and recover damages to the Government resulting from negligence or breach of contractual duty.

c. The AERMP will be conducted in a fair, consistent, and reasonable manner.

d. No demand for recovery of damages will be made to an A-E firm without an adequate review of the facts and circumstances.

e. Investigations and recovery actions will be pursued in a cost-effective and timely manner to mitigate damages, minimize administrative costs, strengthen the likelihood for full recovery, and allow the reuse of project funds.

f. Recovery of damages will only be pursued when economically justified or otherwise in the best interest of the Government.

g. A reasonable effort will be made to resolve liability actions through partnering and negotiation. If unsuccessful, other alternative dispute resolution (ADR) techniques should be considered. Litigation should be the last option.

h. Only the KO can accept a liability settlement for the Government or relieve an A-E firm of its liability.

7-3. Responsibilities.

a. MSC. MSC commanders are responsible for overseeing the AERMP in their subordinate districts to ensure timeliness, cost-effectiveness, and compliance with this EP. MSC Commanders will appoint an MSC-wide A-E Responsibility Coordinator (AERC). The AERC will provide day-to-day oversight of the AERMP, and be the point of contact with the Districts and HQUSACE.

b. Operating Commands<sup>21</sup>.

(1) A-E Responsibility Administrator (AERA). The Chief or Assistant Chief of Engineering (or comparable position) will be the District/Center AERA. The AERA is responsible for the timeliness, cost-effectiveness, reasonableness, and fairness of the AERMP, and compliance with this EP. The AERA will appoint a District AERC. The AERC will be a very experienced engineer or architect who has the training specified in paragraph 4-4.b of this EP. The AERC will be responsible for the day-to-day management of the AERMP and be the point of contact for the program.

(2) A-E Responsibility Management Review Board (AERRB). The commander of each District or Center will establish an AERRB to review deficiencies in A-E performance when requested by the AERC or the KO, and advise on appropriate action. The AERA shall chair the AERRB and the voting members will include senior representatives from Construction, Programs and Project Management, Contracting and Counsel.

c. Multiple Responsible USACE Commands. When the project management, design and/or construction of a project are performed by different USACE commands, the USACE command having KO authority for the A-E contract ("design command") will be responsible for the AERMP, including reporting. The "design command" is responsible for developing a memorandum of understanding with the "project management" and/or "construction" commands on how the requirements of this chapter will be met.

7-4. Legal and Regulatory Background.

a. All FP contracts and IDCs with FP task orders for A-E services must incorporate FAR clause 52.236-23, "Responsibility of the Architect-Engineer Contractor," which stipulates that:

(1) The A-E firm shall be responsible for the professional quality, technical accuracy, and coordination of all designs, specifications, and other services it furnishes.

(2) The A-E firm shall, without additional compensation, correct or revise any errors or deficiencies in its work.

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<sup>21</sup> See definition in paragraph 2-2.a.

(3) The Government's review, approval or acceptance of the A-E services is not a waiver of any of the Government's rights.

(4) The A-E firm shall be and remain liable for all damages to the Government caused by its negligent performance.

b. Typical examples of A-E liability are when, due to an A-E design error or deficiency, modification of an ongoing construction contract is required or there is a design-related failure after construction. An A-E firm may also be liable for Government damages arising from failure to design within the funding limitations (FAR 36.609-1 and 52.236-22) or to comply with the contract schedule or technical provisions. In all such instances, FAR 36.608 directs the KO to "consider the extent to which the architect-engineer contractor may be reasonably liable," and to "enforce the liability and collect the amount due, if the recoverable cost will exceed the administrative cost involved or is otherwise in the Government's interest."

c. Each of the following three questions must be answered affirmatively for an A-E firm to be liable for damages:

(1) Did the firm make an error or omission?

(2) Did the error or omission result from the firm's negligence, or from a breach of contractual duty?

(3) Has the Government suffered damages as a result of the error or omission?

d. The following legal principles should be considered when deciding if an A-E firm is liable:

(1) Negligence. Negligence is the failure to meet the standard of reasonable care, skill and diligence that someone in the A-E profession would ordinarily exercise under similar circumstances.

(2) Burden of Proof. In order for the Government to prevail in a claim against an A-E firm, it must be able to prove that the firm was negligent and that the error or omission by the A-E firm was the cause of the damages.

(3) Comparative Negligence. The doctrine of comparative negligence provides that the Government is not barred from any recovery of damages if it is also negligent, but that there will be an apportionment of damages or responsibility in proportion to the relative fault of the parties involved.

(4) Mitigation. The Government has a responsibility for minimizing damages resulting from an A-E firm's deficiencies. The firm must be notified promptly when a deficiency is discovered by the Government and provided a reasonable opportunity to correct its work.

(5) Government Assumption of Risk. An A-E firm may be relieved of responsibility for a design deficiency due to action by the Government, such as if the Government corrects the design deficiency without the concurrence of the A-E firm and the corrected design is the cause of a failure.

e. The Government is entitled to seek recovery of damages resulting from any type of negligence, non-performance, or breach of contract terms. It is not necessary that the deficiency be corrected for the Government to recover damages. It is only necessary to show that the Government has incurred damages, or will in the future (diminished value theory).

f. FAR 36.608 allows economic factors to be considered when deciding whether to initiate an A-E liability case. However, it may be in the Government's interest to initiate a case where the administrative costs could exceed the anticipated recovery, such as a small claim arising from a serious error that could have resulted in much larger monetary damages or personal injury. All the circumstances of each case must be considered when deciding whether to pursue A-E liability.

g. It is possible to be overly zealous in the pursuit of A-E liability. It is not in the Government's best interest to make claims for relatively small damages due to minor errors that would probably not support a claim of negligence before a board or court. This could lead to the A-E community regarding such claims as a cost of doing business with USACE, with attendant increases in price proposals, diminution of USACE's professional image, and fewer firms willing to work for USACE.

#### 7-5. Implementation.

a. Command Implementation. Each USACE command will issue written procedures implementing the AERMP in the command.

b. Installation Support. The USACE KO retains responsibility for certain aspects of the administration of A-E contracts awarded for use by Army installations, including the investigation and enforcement of liability and resolution of contract disputes. In accordance with paragraph 5-6.d, the USACE KO will provide written instructions to the installation regarding the AERMP, including notification of the A-E firm, obtaining a corrective design, funding, and preparation of damage statements and findings-of-fact.

c. Program Cost Effectiveness. The AERA will periodically review the cost-effectiveness of liability investigations and recovery actions to ensure that the technical and administrative efforts are commensurate with the damages recovered. In particular, the AERA will review the efficiency ratio and settlement ratio, as defined and reported on ENG Form 4858A-R (see paragraph 7-9.b(1)), for each liability case.

d. Schedule. A-E liability cases must be pursued in a timely manner to mitigate the damages and strengthen the likelihood for full recovery. Also, since recoveries can be credited to the project if the appropriation is open, quick action is highly desirable if the damages are significant. The AERC will establish an appropriate schedule for each case

(depending on dollar value, complexity, and other pertinent considerations), closely track the Government and A-E firm's actions, and follow-up with the appropriate parties when suspense dates are not met. The AERA will periodically review liability cases to ensure their timely progress.

7-6. Funding.

a. The AERMP is a team effort. While Engineering Division is the lead in administration of this program, the PM, Contracting, Counsel, Construction Division, Resource Management (RM) and other team members must be continually involved. The PM will be kept apprised of A-E liability actions so the PM may control, allocate and/or obtain funds and keep the customer informed. Also, the AERC will coordinate with the PM and RM to keep the project account open until all A-E liability actions are resolved. This will facilitate funding of the costs to pursue recovery of damages, as well as allow crediting the appropriate account(s) with monies received in settlements.

b. The AERC will request that the technical representative take appropriate action to ensure that detailed project cost records are maintained for each A-E liability case, starting when it is apparent that a liability case will be initiated. These cost records must include all costs associated with investigation, deliberation and prosecution of the case, including support costs incurred by the Office of Counsel such as for travel, expert witnesses, and deposition expenses. (Office of Counsel labor costs are funded as general and administrative overhead.)

c. General administration of the AERMP, such as AERRB meetings and reporting, will be funded by the respective departmental overhead accounts of the personnel involved.

d. Planning and design (P&D) funds for military construction (MILCON) projects, and appropriate project funds<sup>22</sup> for other types of projects, will be used to investigate and pursue A-E liability actions that occur during planning or design.

e. Initial investigation and documentation of potential A-E liability and damages will be charged to S&A. Thereafter, design during construction (DDC) or P&D funds approved and provided by the customer will be used for further investigation and pursuit of an A-E liability claim.

f. During the design or construction of a project, the AERC will request additional project funds from the PM when necessary to investigate or pursue A-E liability. The request will give an explanation of the design deficiencies and damages, breakdown of estimated costs, discussion of likelihood of recovery and expected amount of recovery.

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<sup>22</sup> Project funds mean the appropriation that funded the project, or succeeding appropriations in the rare case the appropriation ceases to be funded and the activity is funded from a different appropriation.

g. The PM will request additional funds from the customer, if warranted. The decision to request and expend project funds to pursue A-E liability will consider the amount of the damages, the likelihood of recovery, whether the settlement will be received in time to benefit the customer's project or program (see paragraph 7-7.n and Appendix EE, paragraph 3), and the customer's willingness to provide the funding. Where project funds are no longer available, the respective departmental or general and administrative overhead accounts of the personnel involved may be used to investigate and pursue A-E liability. Only the KO can finally decide not to pursue A-E liability (FAR 36.608) due to funding constraints.

7-7. Notification, Investigation and Recovery Procedures. Appendix CC is a graphic depiction of the A-E liability process. Each step is discussed below.

a. Notification and Corrective Design.

(1) The A-E firm will be promptly notified<sup>23</sup> as soon as a design deficiency is discovered, requested to provide a corrective design,<sup>24</sup> and informed that it may be financially liable. Initial notification should be made by telephone immediately and formal notification will be made soon after by letter. The AE/RE will also immediately coordinate directly with the Engineering Division and the PM on significant design deficiencies discovered during construction. All contacts with an A-E firm will be fully documented.

(2) Engineering Division will review the corrective design when appropriate, such as when significant structural or life safety features are involved. The Engineering Division review will be performed promptly to avoid or minimize construction contract delays.

b. Corrective Design by the Government. If the A-E firm is unresponsive or cannot furnish a corrective design within an acceptable time period, the Government may have to provide the redesign. (See ER 1110-1-8152 regarding documenting design changes.) If so, the firm will be formally notified of its liability for the redesign cost and be kept informed of the Government actions. The firm should be requested to concur in the corrective action taken by the Government or should sign a release. A statement shall be prepared for the contract file in accordance with FAR 36.609-2 if no action is taken against an A-E firm to recover redesign costs.

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<sup>23</sup> Notification will be made by a person identified in the A-E contract, usually the COR.

<sup>24</sup> There are instances where obtaining a corrective design from an A-E firm may not be necessary, such as when the correction is obvious and simple or the damages are minimal. But see paragraph 7-4.d(4) regarding the Government assumption of risk. In such cases, notification is not required; however the A-E firm must still receive an information copy of the construction contract modification.



c. Implementation of Corrective Construction. An A-E firm shall not be permitted to perform construction required to correct design deficiencies by any means, including the use of its or the Government's contractors. If done, the Government is not in control of the work and cannot ensure that the Government's requirements and interests are satisfied. The Government may invite the A-E firm, as an advisor, to attend negotiations with the construction contractor on changes due to A-E design deficiencies.

d. Documentation of Deficiency. The discovery of a design deficiency and the early actions taken by the Government will be promptly and adequately documented. Include a thorough description of the deficiency, record of contacts with the A-E firm and its responses, the persons involved, actions taken, potential witnesses, and photographs, when appropriate. The AE/RE will evaluate each design error or deficiency using the conditions in paragraph 7-4.c, to determine if the firm is not liable or is potentially liable, and document the contract file accordingly. The AE/RE will forward all potential instances of A-E liability to the AERC for further investigation.

e. Determination of Damages. If an A-E firm is potentially liable for a design error or deficiency, then the AE/RE will compute the initial estimate of damages. Damages are the additional costs, diminished value or loss of use or function that the Government has incurred, or will incur in the future, due to an A-E firm's design errors or performance deficiencies. Appendix CC provides detailed guidance on determining damages. The damages will be revised as needed.

f. Investigation of Liability. The AERC will coordinate the investigation of potential instances of A-E liability. The investigation will be conducted by qualified design professionals of the appropriate disciplines who are familiar with the scope of the A-E contract. These persons must be capable of serving as credible Government experts if a liability case is eventually litigated. The investigation will be documented in a findings-of-fact that will:

(1) Explicitly define the errors or omissions by the A-E firm, including specific references to drawings, specifications, design criteria, review comments, and other pertinent documents.

(2) List the applicable contract provisions and any subsequent direction or guidance that might bear on the question of responsibility.

(3) Give an opinion on the A-E firm's responsibility and negligence. If the investigation concludes that the A-E firm is not liable for damages, then the AERC will document the findings-of-fact accordingly and forward to the AERRB for concurrence. The findings-of-fact will be included in the contract file.

g. Preparation of Case Document. If the investigation concludes that an A-E firm is liable (see paragraph 7-7.j for small actions), the AERC will prepare a case document to include:

- (1) Project background and schedule.
- (2) Computation of damages.
- (3) Findings-of-fact on liability.
- (4) Summary of any other liability actions on the same contract.
- (5) A-E performance evaluation history, including the contract under review.
- (6) Statement on the support and cooperation which the A-E firm provided during construction.
- (7) Any comments or information provided by the A-E firm regarding its liability.
- (8) Recommended action.

h. Letter of Intent. After the case document is prepared, the AERC will prepare a letter from the KO to the A-E firm (with a copy to the design COR) indicating the AERC's intent to recommend formal review by the AERRB of the firm's liability for damages. The letter will include any documents supporting the Government's position and a detailed statement of damages. The firm will be invited to present information on its position and to negotiate a settlement. A liability case is initiated when the letter of intent is sent<sup>25</sup>. Interest is not assessable until, and if, a COD is issued by the KO. In some instances it may be appropriate to issue a demand letter at this stage (see paragraph 7-7.1(3)).

i. Negotiation by AERC. The AERC may directly discuss the potential liability settlement with an A-E firm prior to presenting the case to the AERRB and before the KO issues a demand letter, if the AERC has been previously authorized to do so by the KO<sup>26</sup>. The AERC will then present the case and proposed settlement to the KO for approval, and to Counsel and any other appropriate offices (which may include the AERRB) for concurrence. The settlement will be reported in accordance with paragraph 7-9. If negotiation is unsuccessful, then the AERC will present the case to the AERRB.

j. Small Errors or Deficiencies. If there are no compelling non-economic reasons, then the consideration of small errors or deficiencies (typically below \$5,000 - \$10,000, depending on the size of the contract) may be deferred until the total number and/or total

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<sup>25</sup> If an A-E settlement is made without the need for a letter of intent, a case report will still be prepared and the amount of the settlement included in the annual AERMP report. See paragraph 7-7 for reporting requirements.

<sup>26</sup> The KO may assign a contract specialist to the negotiation team with the AERC.

damages warrants recovery. The AERC will periodically review the deferred liability actions on each contract to see if aggregate recovery is warranted, and document these reviews. Any errors or deficiencies still held at the end of a construction contract that do not warrant recovery will be presented collectively to the KO for approval not to pursue, with the concurrence of any other appropriate offices. The decision not to pursue will be documented in the contract file as required by FAR 36.608.

k. AERRB Review and KO Action. The AERRB will promptly review the cases referred to it by the AERC and recommend action to the KO. The KO will then decide whether to issue a demand letter or not pursue recovery. The case document will be placed in the A-E contract file, along with the minutes of the AERRB meeting and the KO's decision.

(l) Demand Letter.

(a) The demand letter provides an opportunity for resolution of the matter without resorting to the "Disputes" clause. The demand letter is prepared by the Office of Counsel, with factual and technical input from the Engineering and Construction Divisions and the PM, and shall be signed by the KO.

(b) The demand letter shall include the charge of negligence or contract breach, with the supporting documentation, a detailed listing of the damages, and the A-E firm's options. The letter shall state that a COD will be issued if satisfactory progress towards resolution is not made within a specified period of time (typically 30-60 days).

(c) Consider when the demand letter should be issued on a case-by-case basis. For example, if the A-E liability is obvious and the damages are significant, a demand letter should be sent as soon as the AERC prepares the case document instead of sending a letter of intent.

1. Negotiation and COD.

(1) A reasonable effort will be made to resolve a liability case by negotiation. If negotiation is not successful, consider using other ADR techniques<sup>27</sup>. If a firm does not respond to a demand letter in a reasonable length of time, then the firm should be contacted and encouraged to either take issue with the Government's charges or enter into negotiations.

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<sup>27</sup> ADR is a range of techniques for the efficient and effective management of disputes without litigation. See FAR 33.214. The techniques include collaborative problem solving, mediation, facilitation, and third party intervention. ADR can be very useful in resolution of disputes before issuance of a COD, as well as afterwards.

(2) If the firm still does not respond, a COD will be issued without delay. The COD starts a defined process under the "Disputes" clause. (See UAI/EFARS Appendix A, Part 3, A3-203.) The firm must either concede the case or appeal to the appropriate board of contract appeals within 90 days or the Court of Federal Claims within one year. The COD formally notifies the A-E firm that the Government is making a claim for the reasons stated, gives a detailed statement of damages, and lists the firm's options. The Debt Collection Act of 1982 applies to a claim against an A-E firm when a COD is issued. See Appendix EE for applicable procedures. Interest charges in accordance with FAR 52.232-17 will accrue on the damages if the claim is not settled within 30 days (FAR 32.610(b)(2) and 32.614-1(a)), and that the damages will be adjusted for costs incurred by the Government subsequent to the COD.

(3) Primary responsibility for a case passes from Engineering Division to Office of Counsel if a COD must be issued. Counsel prepares the COD based on data provided by Engineering, Construction and Contracting Divisions. The COD must be fully coordinated in accordance with command procedures. Engineering Division remains responsible for monitoring the progress of the case, coordinating support, and reporting.

(4) The 6-year limitation on initiation of a Government claim in FAR 33.206(b) is applicable to A-E liability cases. The 6-year period begins on the date the A-E firm submits its completed work.

m. Settlement. A liability case is closed when final payment is received from the A-E firm or the KO sends a letter to the firm advising that the Government is dropping its claim. The A-E contract file shall be properly documented (FAR 36.608) upon settlement of a liability case to show the amount received and how the funds were dispersed. If the amount of the settlement is less than the amount of the assessed damages, then the rationale for accepting the reduced amount must be documented. Appendix EE discusses settlement options and the disposition of the monies received in settlements.

#### 7-8. A-E Performance Evaluation and Contract Closeout.

a. Liability arising during design is reflected on the A-E performance evaluation prepared after completion of design. Similarly, liability related to construction is reflected on the A-E construction-phase performance evaluation. A revised evaluation will be submitted if a liability case is settled after the final performance evaluation has been prepared.

b. It may be convenient for Engineering Division to combine the review of the construction A-E performance evaluation with the "wrap-up" review of the A-E firm's design deficiencies after completion of construction. The AE/RE should be contacted to find out whether there are construction problems attributable to design deficiencies that have not been corrected by construction changes.

c. An A-E contract shall not be closed out until the firm's performance has been evaluated and all liability actions have been resolved. However, closeout of an A-E contract

or a construction contract based on an A-E firm's design does not affect the Government's right to pursue the recovery of damages resulting from performance deficiencies which later become apparent (see paragraph 7-7.m(4)).

7-9. Reporting.

a. Customer. Customers and partners will be regularly apprised of the status of A-E liability actions on their projects.

b. District Reports.

(1) Quarterly. Districts will submit a quarterly report to their MSC (with a copy to Project Management, Construction, Contracting, Counsel and other concerned offices) on the status of all A-E liability cases within 30 calendar days after the end of each fiscal quarter. The report will be prepared on ENG Form 4858A-R, Quarterly A-E Liability Case Report (Appendix EE). All settlements will be reported, no matter how they were reached. If there are no pending A-E liability cases, then a letter or electronic message stating this fact will be submitted in lieu of this report.

(2) Annual. USACE Districts/Centers will submit an annual report to their MSC on the status of their AERMP by 31 October. The report will be prepared on ENG Form 4858-R, Annual A-E Responsibility Management Program Report (Appendix EE).

c. MSC Reports. MSCs will submit an annual report to HQUSACE, ATTN: CECW-CE, by 30 November, consisting of:

(1) A brief cover memorandum summarizing the status and effectiveness of their AERMP.

(2) The annual ENG Form 4858-R for each subordinate command.



APPENDIX A

Brooks Architect-Engineer Act

Public Law 92-582, as Amended

*Title 40-Public Buildings, Property and Works*

Chapter 11-Selection of Architects and Engineers

§ 1101. Policy

The policy of the Federal Government is to publicly announce all requirements for architectural and engineering services and to negotiate contracts for architectural and engineering services on the basis of demonstrated competence and qualifications for the type of professional services required and at fair and reasonable prices.

§ 1102. Definitions

In this chapter, the following definitions apply:

a. Agency head. - The term "agency head" means the head of a department, agency, or bureau of the Federal Government.

b. Architectural and engineering services. - The term "architectural and engineering services" means –

(1) professional services of an architectural or engineering nature, as defined by state law, if applicable, that are required to be performed or approved by a person licensed, registered, or certified to provide the services described in this paragraph;

(2) professional services of an architectural or engineering nature performed by contract that are associated with research, planning, development, design, construction, alteration, or repair of real property; and

(3) other professional services of an architectural or engineering nature, or incidental services, which members of the architectural and engineering professions (and individuals in their employ) may logically or justifiably perform, including studies, investigations, surveying and mapping, tests, evaluations, consultations, comprehensive planning, program management, conceptual designs, plans and specifications, value engineering, construction phase services, soils engineering, drawing reviews, preparation of operating and maintenance manuals, and other related services.

c. Firm. - The term "firm" means an individual, firm, partnership, corporation, association, or other legal entity permitted by law to practice the profession of architecture or engineering.

§ 1103. Selection procedure

a. In General. - These procedures apply to the procurement of architectural and engineering services by an agency head.

b. Annual Statements. - The agency head shall encourage firms to submit annually a statement of qualifications and performance data.

c. Evaluation. - For each proposed project, the agency head shall evaluate current statements of qualifications and performance data on file with the agency, together with statements submitted by other firms regarding the proposed project. The agency head shall conduct discussions with at least 3 firms to consider anticipated concepts and compare alternative methods for furnishing services.

d. Selection. - From the firms with which discussions have been conducted, the agency head shall select, in order of preference, at least 3 firms that the agency head considers most highly qualified to provide the services required. Selection shall be based on criteria established and published by the agency head.

§ 1104. Negotiation of contract

a. In General. - The agency head shall negotiate a contract for architectural and engineering services at compensation which the agency head determines is fair and reasonable to the Federal Government. In determining fair and reasonable compensation, the agency head shall consider the scope, complexity, professional nature, and estimated value of the services to be rendered.

b. Order of Negotiation. - The agency head shall attempt to negotiate a contract, as provided in subsection (a), with the most highly qualified firm selected under section 1103 of this title. If the agency head is unable to negotiate a satisfactory contract with the firm, the agency head shall formally terminate negotiations and then undertake negotiations with the next most qualified of the selected firms, continuing the process until an agreement is reached. If the agency head is unable to negotiate a satisfactory contract with any of the selected firms, the agency head shall select additional firms in order of their competence and qualification and continue negotiations in accordance with this section until an agreement is reached.



## APPENDIX B

### Acronyms

ACASS	Architect-Engineer Contract Administration Support System
ADR	Alternative Dispute Resolution
AE	Area Engineer
A-E	Architect-Engineer
AERMP	A-E Responsibility Management Program
AERA	A-E Responsibility Administrator
AERC	A-E Responsibility Coordinator
AERRB	A-E Responsibility Management Review Board
AFARS	Army Federal Acquisition Regulation Supplement
AR	Army Regulation
ASBCA	Armed Services Board of Contract Appeals
ASFI	Army Single Face to Industry
BIM	Building Information Modeling
BPN	Business Partner Network
CADD	Computer-Aided Design and Drafting
CAGE	Commercial and Government Entity (code)
CAIC	Contractor Appraisal Information Center (Portland District)
CCASS	Construction Contractor Appraisal Support System
CCR	Central Contractor Registration
CECW-CE	Engineering and Construction, Directorate of Civil Works, HQUSACE
CEHNC-MX	Medical Facilities Center of Expertise
CENWP-CT	Contracting Division, Portland District
CEPR-ZA	Principal Assistant Responsible for Contracting (PARC), HQUSACE
CFC	Court of Federal Claims
CFR	Code of Federal Regulations
COD	Contracting officer's decision
COR	Contracting Officer's Representative
CPAF	Cost-plus-award-fee
CPARS	Contractor Performance Assessment Reporting System
CPFF	Cost-plus-fixed-fee
CR	Cost-reimbursement
DA	Department Of Army
DAU	Defense Acquisition University
DCAA	Defense Contract Audit Agency
DCADS	Defense Contract Action Data System
DOC	Director Of Contracting
Dod	Department Of Defense
DFARS	Defense Federal Acquisition Regulation Supplement
DOL	Department Of Labor
DQMP	Design Quality Management Plan
DPM	Deputy District Engineer For Program And Project Management
DSB	Deputy for Small Business

DUNS	Data Universal Numbering System (Number)
ECC	Estimated construction cost
EFARS	Engineer Federal Acquisition Regulation Supplement
EM	Engineer Manual
ENG	U.S. Army Corps Of Engineers Form
EP	Engineer Pamphlet
ER	Engineer Regulation
ESB	Emerging Small Business
FAR	Federal Acquisition Regulation
FBO	Federal Business Opportunities Website (Fedbizopps)
FFP	Firm-Fixed-Price
FOIA	Freedom Of Information Act
FP	Fixed-Price
FPDS-NG	Federal Procurement Data System – Next Generation
GIS	Geographic Information System
GPE	Government-Wide Point of Entry (See FBO)
HBCU	Historically Black College and University
HQUSACE	Headquarters, United States Army Corps Of Engineers
HTRW	Hazardous, Toxic, Radioactive Waste
Hubzone	Historically Underutilized Business Zone
IDC	Indefinite Delivery Contract
IGE	Independent Government Estimate
KO	Contracting Officer
LEED	Leadership In Energy And Environmental Design
LH	Labor-Hour (Contract or Task Order)
M-CACES	Micro-Computer-Aided Cost Estimating System
MILCON	Military Construction
MSC	Major Subordinate Command
N/A	Not Applicable
NAF	Non-Appropriated Fund
NAICS	North American Industrial Classification System
NCO	National Contracting Organization
NTP	Notice To Proceed
ORCA	Online Representations and Certifications Application
PARC	Principal Assistant Responsible For Contracting
P&D	Planning and Design (Applies To MILCON Only)
PDT	Project Delivery Team
PGI	Procedures, Guidance and Information (Companion To DFARS)
PM	Project Manager
PNM	Price Negotiation Memorandum
PNO	Pre-Negotiation Objectives
POM	Pre-Negotiation Objective Memorandum
PPIRS	Past Performance Information Retrieval System
PROSPECT	Proponent Sponsored Engineer Corps Training
RE	Resident Engineer
RM	Resource Management

RMS	Resident Management System
RFPP	Request For Price Proposal
S&A	Supervision And Administration
SAT	Simplified Acquisition Threshold
SB	Small Business
SBA	Small Business Administration
SCA	Service Contract Act
SDB	Small Disadvantaged Business
SF	Standard Form
SOW	Statement Of Work
SDVOSB	Service-Disabled Veteran-Owned Small Business
UAI	USACE Acquisition Instruction
UCF	Uniform Contract Format
USACE	United States Army Corps of Engineers
U.S.C.	United States Code
VOSB	Veteran-Owned Small Business
WOSB	Woman-Owned Small Business
WGM	Weighted Guidelines Method (for profit)



APPENDIX C

A-E Contracting Program Checklist

DISTRICT \_\_\_\_\_ DATE \_\_\_\_\_

REQUIREMENT	REFERENCES (EP = EP 715-1-7)	YES/ NO? REMARKS
1. Is acquisition planning for A-E services fully coordinated among all pertinent functional elements and reflected in the project management plans?	FAR 7.102 UAI/EFARS 7.102, 7.103 EP 2-1.b, 2-2.a, 2-7, Appendix N	
2. Is there an Overall Acquisition Strategy that addresses A-E IDCs? Is there an A-E Acquisition Strategy document for all A-E contracts above the simplified acquisition threshold?	UAI/EFARS 7.1(S-101) EP 2-7, 2-7 d Appendix N	
3. Are preselection/ selection board chairpersons and board members properly appointed and qualified?	EP 3-3.c(1), 3-3.d, 3-6.b	
4. Are all A-E services done by A-E contracts? Are all A-E SOWs (incl. task orders) checked to ensure no inherently government tasks are included?	EP 3-3.d, 3-6.b	
5. Is selection approval authority properly delegated?	UAI/EFARS 36.602-4(a) EP 3-3.c(2), 3-11.a	
6. Is A-E contract negotiation a team effort among the KO, technical personnel, contracting specialists, and others?	EP 4-1.a, 4-4.a(1)	
7. Are engineers and architects who are primary participants in A-E negotiations properly trained?	EP 4-4.b	

REQUIREMENT	REFERENCES (EP = EP 715-1-7)	YES/ NO? REMARKS
8. Are streamlining techniques being effectively employed and A-E time standards regularly met?	EP 2-11 and Appendix M	
9. Are there written procedures for preparing, reviewing and approving A-E performance evaluations?	EP 6-4.a	
10. Are all performance evaluation roles properly assigned? All assigned personnel trained in ACASS? Is there a system for tracking when A-E performance evaluations are due and completed?	EP 6-2, 6-4.a	
11. Are there written procedures implementing the AERMP? Are quarterly and annual AERMP reports prepared and submitted?	EP 7-5.a, 7-9.b	
12. Is there an AERC appointed?	EP 7-3.b(1)	
13. Is the AERRB established and does it meet as required?	EP 7-3.b(2), 7-7.k	
14. Does the AERA periodically review the cost effectiveness and timeliness of A-E liability cases?	EP 7-5.c-d	
15. Are customers regularly apprised of A-E liability actions?	EP 7-9.a	
16. Are quarterly and annual AERMP reports prepared and submitted? Are all CORs properly qualified, trained and performing their duties effectively?	EP 7-9.b	

Other Remarks: [Note: Districts/Centers should add additional A-E program checklist questions to address any acute/chronic/systemic program issue to their specific checklist.]

APPENDIX D

A-E Contract Checklist

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

CONTRACT TITLE \_\_\_\_\_

REQUIREMENT	REFERENCES (EP = EP 715-1-7)	YES, NO or N/A? REMARKS
<b>1. ACQUISITION PLANNING</b>		
1-1. Was appropriate acquisition planning performed and documented (formal or informal acquisition plan; acquisition strategy ), including consideration of contract type, options and small business?	FAR 7.1 DFARS 207.1 AFARS 5107.1 UAI/EFARS 7.1 and 36.601-3-90(b) EP Chapter 2	
1-2. Was a DD Form 2579 prepared and coordinated with the KO, DSB and SBA prior to releasing the synopsis?	DFARS 219.201(d)(10)(B) UAI/EFARS 19.201(c)(9)(B) EP 2-6, 3-4.e	
<b>2. SYNOPSIS AND SELECTION</b>		
2-1. Does the synopsis conform to the standard format?	FAR 5.207 EP 3-4.c-d, Appendix O	
2-2. Is the scope of an IDC as specific as possible?	FAR 16.504	
2-3. Are the selection criteria clear and reasonable, in conformance with criteria in FAR and DFARS, free of unnecessary restrictions, and in order of importance?	FAR 36.602-1 DFARS 236.602-1 EP 3-4.d, 3-7, Appendix O	

REQUIREMENT	REFERENCES (EP = EP 715-1-7)	YES, NO or N/A? REMARKS
2-4. Do the preselection and selection reports show that all board members are highly qualified professional employees with the appropriate expertise?	FAR 36.602-2(a) UAI/EFARS 36.602-2(a) EP 3-6	
2-5. Do the preselection and selection reports clearly explain the primary reasons for eliminating the firms that were not most highly qualified, and do those reasons properly relate to the selection criteria?	FAR 36.602-3(d) EP 3-8.f, 3-9.c, 3-10.f	
2-6. Were effective and meaningful interviews held with the most highly qualified firms?	FAR 36.602-3(c) EP 3-10.d	
2-7. Does the selection report clearly explain the reasons for ranking the most highly qualified firms, and do those reasons properly relate to the selection criteria?	FAR 36.602-3(d) EP 3-10.e-f	
2-8. Has the selection report been approved by the designated authority?	FAR 36.602-4 UAI/EFARS 36.602-4 EP 3-11.a	
2-9. Were all firms promptly notified of their selection status?	FAR 15.503, 36.607 EP 3-12	
2-10. Were meaningful debriefings promptly held with the firms who requested a debriefing?	FAR 15.505, 36.607 EP 3-13	

**3. NEGOTIATION AND CONTRACT AWARD**



REQUIREMENT	REFERENCES (EP = EP 715-1-7)	YES, NO or N/A? REMARKS
3-1. Does the scope of work thoroughly address the project description, scope of A-E services, schedule, deliverables, reviews, conferences, criteria and standards, Government-furnished information, and administrative instructions?	EP 4-5	
3-2. Was the Service Contract Act considered, and a wage determination incorporated in contract negotiation, if appropriate?	FAR 22.10 EP 4-9	
3-3. Does the PNM indicate that the key contract clauses and performance evaluation process were discussed with the firm during negotiation?	EP 4.7.b	
3-4. Is/does the IGE: - Based on a detailed analysis of required work? - Include profit based on alternate structured approach to weighted guidelines method? - Include a check on the 6% statutory limit? - Properly approved prior to receiving the A-E proposal?	FAR 36.605 UAI EFARS 15.404-73-101, 36.605 EP 4-10, Appendix Y	
3-5. Is the proposal analysis in adequate detail for the size and complexity of the action, and does it address technical, price, and cost considerations?	FAR 15.404 EP 4-12.a, Appendix AA	

REQUIREMENT	REFERENCES (EP = EP 715-1-7)	YES, NO or N/A? REMARKS
3-6. Are the PNO documented in adequate detail in a POM, and the significant differences among the IGE, proposal and PNO explained?	FAR 15.406-1 AFARS 5115.406-1 UAI/EFARS 15.406-1 EP 4-12.c	
3-7. Is there an approved subcontracting plan, if applicable?	FAR 19.702, 19.704, 19.705 EP 4-15, Appendix J	
3-8. Does the PNM: - Describe the principal elements of the negotiation? - Explain the significant differences between the final agreed price and the PNO? - Support that a fair and reasonable price agreement was reached? - Show that the final A-E proposal complies with the 6% limitation?	FAR 15.404-4(c)(4)(i)(B), 15.406-3 DFARS 236.606-70 AFARS 5115.406-3 UAI/EFARS 15.406-3, 36.606-70 EP 4-13.c, 4-16	
3-9. Was the contract awarded within the pertinent time standard, exclusive of justifiable delays?	EP 2-11, Appendix L	
<b>4. CONTRACT ADMINISTRATION AND MANAGEMENT</b>		
4-1. Is there a COR with required training appointed for the contract?	DFARS 201.602-2 . PIL 2011-02, EP 5-4	
4-2. Is there evidence that the Government closely monitored and managed the A-E firm's performance and reviewed the A-E products for technical adequacy?	EP 5-3, 5-5, 5-9	

REQUIREMENT	REFERENCES (EP = EP 715-1-7)	YES, NO or N/A? REMARKS
4-3. Is there evidence of enforcement of the A-E firm's responsibility and liability for design errors and deficiencies?	FAR 36.608, 36.609-2 EP Chapter 7	
4-4. Is there evidence of enforcement of the firm's responsibility for design within the construction funding limitation?	FAR 36.609-1, 52.236-22 EP 7-4.b	
4-5. Were progress payments processed promptly and retainage withheld as appropriate?	FAR 52.232-10 EP 5-7	
4-6. Was there an appraisal of the A-E performance prepared after each submission or phase of work, and the final design-phase performance evaluation prepared in ACASS and sent to the firm? Was an A-E construction phase evaluation promptly submitted after substantial physical completion of construction using an A-E design?	FAR 36.604 DFARS 236.604 UAI/EFARS 36.604 EP Chapter 6	
4-7. Were subcontracting reports (SF 294/295) submitted by the contractor, if applicable?	FAR 52.219-9 EP 5-8, Appendix J	

Other Remarks: [Note: Districts/Centers should add additional A-E project checklist questions to address any acute/chronic/systemic A-E contracting project-type issue to their District/ Center-specific checklist.]



APPENDIX E

A-E Task Order Checklist

CONTRACT NO. \_\_\_\_\_ TASK ORDER NO. \_\_\_\_\_

TASK ORDER TITLE \_\_\_\_\_

REQUIREMENT	REFERENCES (EP = EP 715-1-7)	YES, NO or N/A? REMARKS
<b>1. ACQUISITION PLANNING</b>		
1-1. Was appropriate acquisition planning performed and documented (formal or informal acquisition plan), including consideration of contract type, options and small business?	FAR 7.1 DFARS 207.1 AFARS 5107.1 UAI/EFARS 7.1 EP Chapter 2	
1-2. Was a DD Form 2579 prepared and coordinated with the KO, DSB and SBA prior to committing to issue of the task order?	DFARS 219.201(d)(10)(B) UAI/EFARS 19.201(c)(9)(B) EP 2-6, 3-4.e	
<b>2. NEGOTIATION AND TASK ORDER ISSUE</b>		
2-1. Does the scope of work thoroughly address the project description, scope of A-E services, schedule, deliverables, reviews, conferences, criteria and standards, Government-furnished information, and administrative instructions?	EP 4-5	
2-2. If this task order could have been issued under more than one IDC, is the contract file documented to justify the basis for issuing the task order under this contract?	FAR 16.500, 16.505(b) EP 4-14.f(2)	

REQUIREMENT	REFERENCES (EP = EP 715-1-7)	YES, NO or N/A? REMARKS
2-3. If this task order is over \$700,000, is the use of a task order instead of initiating a new contract justified in the file?	UAI/EFARS 36.601-3-90(c) EP 4-14.f(2)	
2-4. Is the scope of work for this task order within the scope of the IDC?	FAR 16.505(a)(2) EP 4-14.f(2)	
2-5. Was the Service Contract Act considered, and a wage determination incorporated in contract negotiation, if appropriate?	FAR 22.10 EP 4-9	
2-6. Is/does the IGE: - Based on a detailed analysis of required work? - Include profit based on alternate structured approach to weighted guidelines method? - Include a check on the 6% statutory limit? - Properly approved prior to receiving the A-E proposal?	FAR 36.605 UAI/EFARS 15.404-73-101, 36.605 EP 4-10, Appendix Y	
2-7. Is the proposal analysis in adequate detail for the size and complexity of the action, and does it address technical, price, and cost considerations?	FAR 15.404 EP 4-12.a, Appendix AA	
2-8. Are the PNO documented in adequate detail in a POM and the significant differences among the IGE, proposal and PNO explained?	FAR 15.406-1 AFARS 5115.406-1 UAI/EFARS 15.406-1 EP 4-12.c	
2-9. Does the PNM: - Describe the principal elements of the negotiation? - Explain the significant differences between the final agreed price and the PNO? - Support that a fair and reasonable price agreement was reached?	FAR 15.404-4(c)(4)(i)(B), 15.406-3 DFARS 236.606-70 AFARS 5115.406-3 UAI/EFARS 15.406-3, 36.606-70 EP 4-13.c, 4-16	

REQUIREMENT	REFERENCES (EP = EP 715-1-7)	YES, NO or N/A? REMARKS
- Show that the final A-E proposal complies with the 6% statutory limitation?		
2-10. Was the task order awarded within the pertinent time standard, exclusive of justifiable delays?	EP 2-11, Appendix L	
<b>3. TASK ORDER ADMINISTRATION AND MANAGEMENT</b>		
3-1. Is there evidence that the Government closely monitored and managed the A-E firm's performance and reviewed the A-E products for technical adequacy?	EP 5-3, 5-5, 5-9	
3-2. Is there evidence of enforcement of the A-E firm's responsibility and liability for design errors and deficiencies?	FAR 36.608, 36.609-2 EP Chapter 7	
3-3. Is there evidence of enforcement of the firm's responsibility for design within the construction funding limitation?	FAR 36.609-1, 52.236-22 EP 7-4.b	
3-4. Were progress payments processed promptly and retainage withheld as appropriate?	FAR 52.232-10 EP 5-7	
3-5. Was there an appraisal of the A-E performance prepared after each submission or phase of work, and the final design-phase performance evaluation and/or A-E construction-phase evaluation prepared and sent to ACASS and the firm?	FAR 36.604 DFARS 236.604 EP Chapter 6	

Other Remarks: [Note: Districts/Centers should add additional A-E task order checklist questions to address any acute/chronic/systemic A-E contracting task order issue to their District/ Center-specific checklist.]





## APPENDIX F

### Internet Addresses for A-E Contracting

USACE HOME PAGE:

<http://www.usace.army.mil>

BROOKS A-E ACT:

<http://uscode.house.gov/search/criteria.shtml> Search on Title 40, Section 541. Then scroll to Sections 542, 543, and 544 to view entire law.

FEDERAL ACQUISITION REGULATION (FAR):

<http://farsite.hill.af.mil/>

DEFENSE FAR SUPPLEMENT:

<http://www.acq.osd.mil/dpap/dars/dfars/index.htm>

DFARS PROCEDURES, GUIDANCE AND INFORMATION: Companion resource to DFARS containing mandatory and non-mandatory internal DoD procedures, non-mandatory guidance and supplemental information used at the discretion of the contracting officer.

<http://www.acq.osd.mil/dpap/dars/pgi/>

ARMY FAR SUPPLEMENT:

<http://farsite.hill.af.mil/reghtml/regs/other/afars/afartoc.htm>

U.S. ARMY CORPS OF ENGINEERS FAR SUPPLEMENT:

<http://www.usace.army.mil/CECT/Pages/EFARS.aspx>

A T & L KNOWLEDGE SHARING SYSTEM (AKSS): Comprehensive collection of DoD acquisition policies and procedures.

<http://akss.dau.mil/>

FEDERAL ACQUISITION JUMP STATION:

<http://nais.nasa.gov/fedproc/home.html>

NATIONAL CONTRACTING ORGANIZATION (NCO) PORTAL:

<https://kme.usace.army.mil/CoPs/Contracting/NCOPortal/default.aspx>

WHERE IN FEDERAL CONTRACTING: Federal contracting regulations, information, newsletters, business opportunities, and small business information

<http://www.wifcon.com/>

USACE PUBLICATIONS:

<http://140.194.76.129/publications/>

EP 715-1-4, COMPETING FOR ARCHITECT-ENGINEER CONTRACTS WITH THE U.S. ARMY CORPS OF ENGINEERS:

<http://140.194.76.129/publications/eng-pamphlets/ep715-1-4/toc.htm>

EP 715-1-7

29 Feb 12

EP 715-1-7, ARCHITECT-ENGINEER CONTRACTING:

<http://140.194.76.129/publications/eng-pamphlets/ep715-1-7/toc.htm>

FEDERAL BUSINESS OPPORTUNITIES:

<http://www.fedbizopps.gov>

ARMY SINGLE FACE TO INDUSTRY:

<https://acquisition.army.mil/asfi/>

SMALL BUSINESS ADMINISTRATION:

<http://www.SBAonline.SBA.gov>

DYNAMIC SMALL BUSINESS SEARCH: Part of CCR:

[http://dsbs.sba.gov/dsbs/dsp\\_dsbs.cfm](http://dsbs.sba.gov/dsbs/dsp_dsbs.cfm)

NORTH AMERICAN INDUSTRIAL CLASSIFICATION SYSTEM (NAICS):

<http://www.census.gov/epcd/www/naics.html>

GOVERNMENT PRINTING OFFICE: Federal Register

<http://www.gpoaccess.gov/index.html>

STANDARD FORM 330:

<http://www.gsa.gov/portal/forms/download/21DBF5BF7E860FC185256E13005C6AA6>

COMPTROLLER GENERAL DECISIONS:

<http://www.gao.gov>

CENTRAL CONTRACTOR REGISTRATION:

<http://www.ccr.gov>

INTEGRATED ACQUISITION ENVIRONMENT: Federal electronic acquisition program.

<http://egov.gsa.gov>

BUSINESS PARTNER NETWORK (BPN): Single source for vendor data for the Federal Government.

<http://www.bpn.gov/>

ONLINE REPRESENTATIONS AND CERTIFICATIONS APPLICATION (ORCA): Part of BPN. Question 26 is SF 330 Part II.

<http://orca.bpn.gov/>

PAST PERFORMANCE INFORMATION RETRIEVAL SYSTEM (PPIRS):

<http://www.ppirs.gov/>

FEDERAL PROCUREMENT DATA SYSTEM – NEW GENERATION:

<https://www.fpds.gov/>

CONTRACTOR PERFORMANCE ASSESSMENT REPORTING SYSTEM (Navy):

<http://www.cpars.csd.disa.mil/cparsmain.htm>

ARCHITECT-ENGINEER CONTRACT ADMINISTRATION SUPPORT SYSTEM: Public site.

<https://www.nwp.usace.army.mil/ct/i>

ARCHITECT-ENGINEER CONTRACT ADMINISTRATION SUPPORT SYSTEM: Government site. Requires access permission and password.

<http://www.cpars.csd.disa.mil/cparsmain.htm>

DEPARTMENT OF LABOR WAGE DETERMINATIONS ONLINE:

<http://www.wdol.gov/>

DEPARTMENT OF LABOR EMPLOYMENT COST INDEX:

<http://www.bls.gov/ncs/ect/home.htm>

USACE PROSPECT TRAINING PROGRAM:

<http://pdsc.usace.army.mil/>

LIBRARY OF CONGRESS LEGISLATIVE INFORMATION:

<http://thomas.loc.gov/>

TRI-SERVICE CAD/BIM CENTER:

<https://cadbim.usace.army.mil/>



## APPENDIX G

### Classification of Contracts as A-E Services

#### 1. INTRODUCTION

This appendix provides guidance and examples to assist the contracting officer when determining whether a particular contract should be procured as A-E services in accordance with the procedures in FAR Subpart 36.6.

A contract must be procured in accordance with FAR 36.6 when:

- a. The SOW includes work that is A-E services, and
- b. The A-E services are a substantial or dominant portion of the contract.

Each of these two conditions is discussed below.

#### 2. CATEGORIES OF A-E SERVICES

FAR 36.601-4(a) describes four categories of A-E services, each of which is discussed below.

(1) “Professional services of an architectural or engineering nature, as defined by applicable State law, which the State law requires to be performed or approved by a registered architect or engineer.”

Discussion: The test for this category is whether the work is typically of the type that State laws require to be performed or approved by a registered architect or engineer (even though the work is likely on Federal property and State laws generally do not apply to the project). All States license architects and engineers for the protection of public health, safety and welfare. State laws vary but generally the practices of engineering and architecture include the evaluation, planning, design and construction supervision of public and private buildings, structures and the equipment and utilities, site development, and transportation systems.

(2) “Professional services of an architectural or engineering nature associated with design or construction of real property.”

Discussion: The test for this category is whether the work is of the type typically performed by architects or engineers in association with the design or construction of real property, even if there is no explicit registration requirement in the SOW. Real property is land and any structures on it. Design also includes investigations and planning when related to a particular construction project. Construction is defined in FAR 36.102 as construction, alteration or repair of buildings, structures, or other real property. Many specific examples are cited. "Construction does not include ... vessels, aircraft, or other kinds of personal property." Personal property is movable or not attached to the land.

(3) “Other professional services of an architectural or engineering nature or incidental services thereto (including studies, investigations, surveying and mapping, tests, evaluations, consultations, comprehensive planning, program management, conceptual designs, plans and specifications, value engineering, construction phase services, soils engineering, drawing reviews, preparation of operating and maintenance manuals and other related services) that logically or justifiably require performance by registered architects or engineers or their employees.”

Discussion: The test for this category is whether the work is of the type that should logically or justifiably be accomplished by, or under the supervision, of architects or engineers. However, the work must be of an architectural or engineering nature. For example, not all studies, investigations, tests, evaluations, consultations, planning, and construction phase services are architectural or engineering in nature. Also, the list of typical services in parentheses is not all-inclusive; reasonable extrapolations from this list can be made.

(4) “Professional surveying and mapping services of an architectural or engineering nature. Surveying is considered to be an architectural and engineering service and shall be procured pursuant to Section 36.601 from registered surveyors or architects and engineers. Mapping associated with the research, planning, development, design, construction, or alteration of real property is considered to be an architectural and engineering service and is to be procured pursuant to Section 36.601...”

Discussion: The general FAR test for this category is whether the surveying and mapping are related to architectural and engineering activities. Also, by separate statute (33 U.S.C. 569b), all surveying and mapping procured by USACE must use Brooks Act procedures. (See Appendix I.) UAI/EFARS 36.601-4(a)(4)(A) provides examples of surveying and mapping services which should be procured as A-E services. In USACE, the performance of surveying and mapping services will not be limited to A-E firms, but may include surveying and mapping professionals such as licensed surveyors, geodesists, and cartographers.

### 3. MIXED WORK

FAR 36.601-3(c) provides the following guidance when the SOW includes both A-E services and other services:

"When the contract statement of work includes both architect-engineer services and other services, the contracting officer shall follow the procedures in this subpart if the statement of work, substantially or to a dominant extent, specifies performance or approval by a registered or licensed architect or engineer."

Discussion: When a contract includes a mixture of A-E services and other services, the contract shall be procured in accordance with FAR 36.6 if the A-E services (as defined in FAR 36.601-4(a) and discussed above) are a substantial or dominant part of the work. Substantial means a considerable percentage of the work but not necessarily a majority of the hours or cost. Dominant means the primary purpose of the work, although not necessarily a majority of the hours or cost, or the largest component of the work.

## EXAMPLES

1. A contract for the complete architectural and engineering design of a building, structure or utility system is A-E services. However, a contract principally for drafting services is not A-E services, even if the SOW requires review by a registered architect or engineer as a quality control measure.
2. A contract for the architectural design of the renovation of a building (such as relocation of load bearing partitions to accommodate a new occupancy, alteration of hallways and corridors to comply with life safety codes, and various improvements to allow handicapped access), which may also include interior design services (such as space planning and modular furniture systems design), is A-E services. However, a contract principally for interior design services, where load-bearing structural elements and mechanical and electrical systems are not altered, is not A-E services, notwithstanding the fact that a few States require registration of interior designers.
3. A contract for a geotechnical engineering study is A-E services, even if the necessary soils borings and tests are the majority of the effort measured in hours or dollars. However, a contract principally for borings and laboratory tests, where engineering analysis and judgment are not required, is not A-E services, even if the SOW requires monitoring of the borings and tests by a registered engineer as a quality control measure.
4. A contract for landscape architecture, which is concerned with the functional as well as aesthetic aspects of site development and is licensed by most States, is A-E services. However, a contract that principally requires application of the natural sciences (such as botany, marine science, or forestry) is not A-E services.
5. A contract for hydraulic engineering to study the effects on shoreline erosion and marine structures due to increased flow in a river is A-E services. However, a contract principally to study the effects on marine plants and fish due to increased flow in a river is not A-E services, even if a minor effort is required by a hydraulic engineer.
6. A contract for an environmental study or assessment with significant engineering considerations (such as alternative highway alignments, air pollution control, sanitary sewage waste collection and treatment, storm drainage management, domestic water supply, energy consumption, or remedial technology evaluation) is A-E services. However, a contract for environmental studies or assessment where the engineering considerations are not significant or dominant is not A-E services. See Appendix H for more detailed guidance on which types of environmental services should typically be procured as A-E services.
7. A contract for aerial photogrammetry is A-E services in USACE. However, a contract for aerial photography only which does not result in a surveying and mapping product is not A-E services. See EM 1110-1-1000 for additional guidance.
8. A contract for construction phase services, such as shop drawing review, evaluation of construction methods, and interpretation of plans and specifications, is A-E services.

However, a contract for construction phase services that is principally for materials testing, quantity verification or materials scheduling is not A-E services.

9. A contract for the architectural renovation of the exterior of a historic building (including cleaning and repair of masonry, repair and/or replacement of doors and windows, and handicapped accessibility improvements), which may require research by an architectural historian, is A-E services. However, a contract principally for historic research, archaeology, or cultural resources studies is not A-E services, even though a minor effort may be required by an architect.

10. A contract to study whether to renovate an existing building or construct a new building to accommodate a new mission is an A-E service. However, a contract to do a cost/benefit study of which installation should receive this new mission is not A-E services, even though facilities analysis would be a part of such a study.

11. A contract to design a building, including an artist's rendering and a three dimensional model, is A-E services. However, a contract only for a rendering and/or model is not A-E services.

12. An engineering geology study to determine the foundation requirements for a new dam is A-E services. However, a geology investigation that is not directly related to a construction project, such as mapping of seismic faults, is not A-E services, notwithstanding the fact that many States license geologists.

13. Comprehensive planning that is related to future construction requirements on a military installation is A-E services. However, comprehensive planning that is not related to construction, such as information systems improvements or natural resources management, is not A-E services.

14. A contract for cost engineering or value engineering, which assesses the relative economic and technical merits of alternate engineering solutions, is A-E services. However, a contract solely for cost estimating, which involves computing quantities and applying appropriate cost factors to determine the estimated construction cost of a project, is not A-E services, notwithstanding the expertise required to perform this service.



## APPENDIX H

### Environmental Services

#### 1. INTRODUCTION

USACE procures a significant amount of environmental services, some of which are A-E services. This appendix provides examples of common environmental projects that are typically A-E services, that are not typically A-E services, and that may be A-E services. This guidance, in conjunction with Appendix G, should be used when determining whether a particular contract for environmental services should be procured as an A-E contract. If a contract for environmental services is procured as A-E services, the NAICS code must either be 541330 or 541620. (See Chapter 2, paragraph 2-4.)

#### 2. PROJECTS THAT ARE TYPICALLY A-E SERVICES

1. Air quality corrective action plans and projects, such as for:
  - a. Stationary and mobile sources
  - b. Asbestos
  - c. Radon
  - d. Chlorofluorocarbons (CFC) and halon
2. Water resources corrective action plans and projects, such as for:
  - a. Drinking water
  - b. Wastewater
  - c. Point source and non-point source discharge
  - d. Storm water discharge
3. Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) studies and design (preliminary assessment/site investigation (PA/SI), remedial investigation/feasibility study (RI/FS), treatability studies, and remedial design (RD) performed as a single project.
4. Preparation of Spill Prevention, Control, and Countermeasures Plans under the National Contingency Plan (NCP).
5. Design of corrective actions in accordance with the Resource Conservation and Recovery Act (RCRA).
6. Preservation surveys, management plans, and restoration designs for historic structures.
7. Development of Storm Water Pollution Prevention Plans (SWPPP) which include the design of appropriate diversion structures.
8. Design of repair, removal and/or replacement of underground storage tanks (UST) and design of leak detection systems for UST.

9. Design of boiler replacement or upgrade projects, such as installation of low NO<sub>x</sub> systems.
10. Design of a new or upgraded RCRA Part B permitted hazardous waste management unit.
11. Closure procedures, documentation and certification for RCRA Part B permitted hazardous waste management unit.
12. Design of a new or upgraded solid waste land-based unit.
13. Design of support systems under the excavation standards of the Occupational Safety and Health Act for excavations greater than 20 feet.
14. Monitoring and certification of injection wells closure in accordance with 40 CFR 144.
15. Preparation, evaluation, and certification of Leadership in Energy and Environmental Design (L.E.E.D.) compliant designs, construction, and facility operations.

### 3. PROJECTS THAT ARE NOT TYPICALLY A-E SERVICES

1. Environmental Compliance Assessment System surveys.
2. Preparation of RCS-1383 reports.
3. Air quality surveys and/or emissions reporting, such as for:
  - a. Stationary and mobile sources
  - b. Asbestos
  - c. Radon
  - d. CFC and halon
4. Laboratory testing, such as for:
  - a. Drinking water
  - b. Wastewater
  - c. Point source and non-point source discharge
  - d. Storm water discharge
5. Pollution prevention opportunity assessments.
6. Reporting under the NCP, such as for:
  - a. Oil
  - b. Hazardous substances
  - c. Installation Spill Contingency Plan
  - d. Toxic release inventory

7. Hazardous and toxic waste and materials management, including compliance with the Emergency Planning and Community Right-to-Know Act.

8. Other surveys, plans, and testing.
  - a. Chemical inventories and testing.
  - b. Lead based paint surveys.
  - c. General environmental program management functions.
  - d. Forestry management plans.
  - e. Wildlife surveys and management plans, including endangered species.
  - f. Archaeology surveys and management plans.
  - g. Pest management plans.
  - h. Wetland identification surveys and management plans.
  - i. Coastal zone management plans.
  - j. Land management and restoration plans.
  - k. Solid waste management functions.
  - l. Wastewater management functions.
  - m. Remedial design of ordnance and munitions disposal projects.

#### 4. PROJECTS THAT MAY OR MAY NOT BE A-E SERVICES, DEPENDING ON SPECIFIC INSTALLATION OR PROJECT REQUIREMENTS

1. National Environmental Policy Act (NEPA) documentation, including environmental assessments and environmental impact statements.

2. Noise abatement activities, such as:

- a. Compliance with the Quiet Communities Act.
- b. Compliance with the Noise Control Act, including (1) Assessment of impact by activities and (2) Installation compatible use zone studies

3. Preparation of air quality permits, such as for:

- a. Stationary and mobile sources
- b. Asbestos and radon
- c. CFC and halon
- d. Data collection and reporting under Title V of the Clean Air Act

4. Preparation of permits for water resources, such as for:

- a. Drinking water
- b. Wastewater
- c. Point source and non-point source discharge
- d. Storm water discharge
- e. Preparation of SWPPP.

5. UST installation certification.

6. CERCLA PA/SI and RI only without FS and RD.



## APPENDIX I

### Surveying, Mapping and Geospatial Services

1. FAR 36.601-4(a)(4) requires that surveying and mapping services associated with real property be procured in accordance with the Brooks A-E Act. Also, 33 USC 569b and 33 USC 2292 require USACE to follow the Brooks Act when awarding contracts for surveying and mapping services, the later statute specifically addressing water resources projects. Hence, all USACE prime contracts for surveying, mapping or geospatial services must be awarded in accordance with the Brooks Act. USACE defines surveying, mapping or geospatial services as follows:

a. In USACE "surveying and mapping services" includes activities associated with measuring, locating and preparing maps, charts, or other graphical or digital presentations depicting natural and man-made physical features, phenomena, and legal boundaries of the earth, such as:

(1) Topographic Engineering Surveying, which includes acquisition of topographic oriented surveying and mapping data for design, construction, master planning, operations, as-built conditions, precise structure stability studies utilizing conventional and electronic instrumentation, photogrammetric, remote sensing, inertial, satellite, and other survey methods as applicable.

(2) Hydrographic Engineering Surveying, which includes acquisition of hydrographic oriented surveying and mapping data for design, construction, dredging, master planning, operations, and as-built conditions utilizing conventional and electronic instrumentation, and photogrammetric, remote sensing, inertial, satellite, side scan sonar, subbottom profiling, and other surveying methods as applicable.

(3) Land Surveying, which includes property and boundary surveys, monumentation, marking and posting, preparation of tract descriptions, etc., utilizing conventional, electronic instrumentation, photogrammetric, inertial, satellite, and other survey methods as applicable.

(4) Geodetic Surveying, which includes 1st, 2nd, and 3rd order horizontal and vertical control surveys, geodetic astronomy, gravity and magnetic surveys utilizing conventional, electronic instrumentation, photogrammetric, inertial, satellite, and other survey methods as applicable.

(5) Cartographic Surveying, which includes acquisition of topographic and hydrographic oriented surveying and mapping data for construction of maps, charts, and similar products for general use other than those for engineering, construction, and/boundary or geodetic purposes - utilizing conventional and electronic instrumentation, photogrammetric, inertial, satellite, and other survey methods as applicable.

(6) Mapping, charting, and related geospatial database development, which includes the design, compilation, digitizing, attributing, scribing, drafting, printing and dissemination of

printed or digital map, chart, and related geospatial database products associated with planning, engineering, operations, and related real estate activities utilizing photogrammetric, geographic information systems, and other manual and computer assisted methods as applicable.

(7) Technical Operations, such as aerial photography, are not considered surveying and mapping services unless they are an integral part of a broader-scoped contract that results in a surveying or mapping product.

b. The performance of surveying and mapping services will not be limited to registered or licensed architect-engineer firms, but will also include surveying and mapping professionals such as licensed surveyors, geodesists, and cartographers.

2. Significant surveying, mapping or geospatial projects (over approximately \$30,000) should be procured by contractors that have been specifically selected for this type of work. Do not use an IDC selected to primarily provide other types of A-E services to perform a significant surveying, mapping or geospatial project. The contractor or subcontractor may not be properly qualified to provide the required surveying, mapping or geospatial services, and this type of work was not considered in the selection process.

3. If a command does not have the appropriate surveying, mapping or geospatial contract capability, or the technical expertise to administer such contracts, then support should be sought from other commands or from the Technical Center of Expertise for Photogrammetric Mapping at the St. Louis District. The Center can assist with contract administration and has several USACE-wide IDCs for surveying, mapping or geospatial services that may be used.

4. If a contract statement of work requires significant surveying and mapping services, the public announcement must state that the surveying and mapping subcontractor (or the prime contractor's in-house surveying and mapping personnel) will be identified in the Standard Form 330. The qualifications of the proposed subcontractors (or in-house personnel) are then evaluated as a part of the A-E selection process.

5. Any change in the subcontractors that were specifically identified and agreed to during negotiations, or the addition of any subcontractors that were not contemplated during selection and negotiation, must be approved in advance by the contracting officer in accordance with FAR Clause 52.244-4, Subcontractors and Outside Associates and Consultants (Architect-Engineer Services). The contracting officer should refer the qualifications of the surveying and mapping subcontractor to the A-E selection board for evaluation to ensure that the subcontractor has the required technical capabilities in accordance with the intent of the Brooks Act.

6. In accordance with the intent of the Brooks Act, the Government may and should strongly encourage contractors to use a qualification-based selection (QBS) approach (instead of bidding) for selecting subcontractors for surveying, mapping and other professional A-E services. The negotiators should stress to the contractor that the Government is willing to pay a fair and reasonable price for quality performance, and that bidding of professional subcontracted services may be detrimental to the quality of the work, and hence, may impact the selection of the prime

contractor for future contracts. Also, additional oversight of the subcontractor will likely be required to ensure quality products and services.

7. For a response action contract<sup>28</sup>, 42 USC 9619(f) directs that “contractors and subcontractors for program management, construction management, architectural and engineering, surveying and mapping, and related services shall be selected” in accordance with the Brooks A-E Act. This statute also directs that response action contractors and subcontractors follow the QBS procedures in the Brooks Act. However, there is no FAR solicitation or contract clause that implements this statute. Hence, the public announcement for any A-E services in connection with a response action contract should include a statement that the contractor must use a QBS approach in selecting subcontractors for professional A-E services, including surveying and mapping, and the contractor may be required to provide evidence that this approach was followed.

8. The majority of the preselection or selection board members for A-E contracts principally for real property surveys, topographic or photogrammetric mapping, hydrographic surveying, or geodetic surveying shall have specialized and current experience in performing or supervising the required type(s) of work. At least one licensed land surveyor shall be included as a member on boards for contracts principally for real property surveys or where State laws require certain surveying and mapping work to be performed by a licensed surveyor. When a command does not have adequate expertise to properly staff an evaluation board for a surveying and mapping contract, technical assistance shall be obtained from other USACE commands, other Federal agencies, or non-Federal partners or customers.

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<sup>28</sup> A contract for any remedial action (including planning, engineering, surveying and mapping, and design) with respect to any release or threatened release of a hazardous substance or pollutant or contaminant under the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA).





## APPENDIX J

### Small Business Program

#### 1. INTRODUCTION

The Small Business Administration (SBA) was created by Congress in 1953 to "aid, counsel, assist and protect, insofar as is possible, the interests of small business concerns." Congress stipulated that the SBA would ensure small businesses receive a "fair proportion" of Government contracts.

It is the policy of the Government to provide maximum practicable opportunities in its acquisitions to small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns. Such concerns must also have the maximum practicable opportunity to participate as subcontractors in contracts awarded, consistent with efficient contract performance. The Small Business Program is covered in FAR Part 19 and Other Socioeconomic Programs are covered under DFARS 226.

#### 2. SMALL BUSINESS DEFINITIONS

“Concern” is any business entity organized for profit (even if its ownership is in the hands of a nonprofit entity) with a place of business located in the United States or its outlying areas and that makes a significant contribution to the U.S. economy through payment of taxes and/or use of American products, material and/or labor, etc. “Concern” includes but is not limited to an individual, partnership, corporation, joint venture, association, or cooperative. For the purpose of making affiliation findings (see [19.101](#)), include any business entity, whether organized for profit or not, and any foreign business entity, *i.e.*, any entity located outside the United States and its outlying areas.

“Fair Market Price” is a price based on reasonable costs under normal competitive conditions and not on lowest possible cost.

“Industry” means all concerns primarily engaged in similar lines of activity, as listed and described in the North American Industry Classification System (NAICS) manual (available via the Internet at <http://www.census.gov/epcd/www/naics.html>). It replaced the Standard Industrial Classification (SIC) system.

“SBA Size Standards” define whether a business entity is small and, thus, eligible for Government programs and preferences reserved for “small business” concerns. Size standards have been established for types of economic activity, or industry, generally under the NAICS. Size standards are stated in either number of employees or average annual receipts. NAICS assigns codes to all economic activities within twenty broad sectors. The size standard for most A-E services is \$4.5 million (see Chapter 2, paragraph 2-4).

“Small Business Concern” is a domestic firm that is independently owned and operated, not dominant in its field of operation, and can qualify under the size standards of the NAICS codes. A certification is not required from SBA.

“HUBZone Concern” is a concern that is a small business, is owned and controlled by one or more US citizens or by a Community Development Corporation or Indian tribe, and has its principal office located within a historically underutilized business zone (which includes lands on recognized Indian reservations). Also, at least 35% of its employees must reside in a HUBZone. A certification is required from the SBA. A more detailed definition is located in 13 CFR 126.

“Service-Disabled Veteran-Owned Small Business Concern” is a small business concern that is at least 51% owned and operated by one or more service-disabled veterans whose management and daily business operations are controlled by service-disabled veterans, in the case of a service-disabled veteran with permanent and severe disability, the spouse or permanent caregiver of such veteran. Service-disabled veterans are veterans with a disability that is service connected. A certification is not required from the SBA. A more detailed definition is located in 13 CFR 125.8.

“Small Disadvantaged Business Concern” is a business, which is; at least 51% owned by one or more socially and economically disadvantaged individual(s). A certification is required from the SBA. “Socially disadvantaged” is an individual who has been subjected to racial or ethnic prejudice or cultural bias (Black, Hispanic, Native, Asian Pacific or Subcontinent Asian Americans). “Economically disadvantaged” is an individual denied access to capital and credit opportunities because of their identification as a member of a specific group. SBA certifies small businesses that meet specific social, economic, ownership, and control eligibility criteria. Once certified, the firm is added to an on-line registry of SDB-certified firms maintained in the Central Contractor Registration (CCR) database. Certified firms remain on the list for three years. Contracting officers and large business prime contractors may search this on-line registry for potential suppliers.

“Veteran-Owned Small Business Concern” is a small business concern that is at least 51% owned and operated by one or more veterans and whose management and daily business operations are controlled by veterans. Veterans are persons who served in the active military, naval, or air service, and who were discharged or released under conditions other than dishonorable. A certification is not required from the SBA.

“Economically-Disadvantaged Women-Owned Small Business (EDWOSB) or Women-Owned Small Business concern (WOSB)” is a small business not less than 51 percent unconditionally and directly owned and controlled by one or more women who are United States citizens and are economically disadvantaged. If the NAICS code is defined as “under represented” industry, the acquisition can be set aside for EDWOSB. The KO may compete actions to EDWOSB firms up to \$4 million. Prior to award, the KO will check the WOSB Repository to ensure all required documents have been submitted. EDWOSB is self certifying in part. EDWOSB firms must submit a copy of a certification to the WOSB Program Repository. The apparent successful

EDWOSB offeror will be required to authorize the federal agency and KO access to the firm's repository.

### 3. SMALL BUSINESS PROGRAMS APPLICABLE TO A-E CONTRACTS

SBA 8(a) Business Development Program: The SBA's business development program for socially and economically disadvantaged business concerns is commonly called the 8(a) program based upon Section 8(a) of the Small Business Act. Through the 8(a) program, small companies owned by socially and economically disadvantaged persons can obtain contracts and other assistance from SBA in developing their business.

USACE fulfills its mandate to support the 8(a) program by identifying and offering to the SBA projects deemed capable for performance by 8(a) contractors. All members of the acquisition team (engineering, small business, contracting, legal and project management) must participate in a timely manner in the planning and execution of the 8(a) program. The acquisition team, including the customer when practicable, shall select those projects that are considered suitable for the 8(a) program. The selection should be made well in advance of the start of the fiscal year, as an integral step of the acquisition strategy and acquisition planning processes. The final selection decision rests with the contracting officer.

A-E procurements reserved for the 8(a) program must utilize the selection procedures outlined in the Brooks A-E Act, including public announcement, technical evaluations, ranking of firms, and holding discussions with the three most highly qualified firms. The Contracting Officer must have a reasonable expectation of receiving a sufficient number of responses from 8(a) firms to proceed with an 8(a) procurement.

Small Business Set-Asides: The small business set-aside program consists of a procurement action in which only small business firms can compete for the contract. A-E procurements reserved for small business set-asides must utilize the selection procedures outlined in the Brooks A-E Act, including public announcement, technical evaluations, ranking of firms, and holding discussions with the three most highly qualified firms. The Contracting Officer must have a reasonable expectation of receiving at least 3 responses from small business firms to proceed with a small business set-aside.

The Small Business Subcontracting Program: With the exception of firms classified as small business concerns, any A-E firm receiving a contract for more than \$650,000 that has subcontracting possibilities, must submit an acceptable subcontracting plan. If the successful offeror fails to negotiate a subcontracting plan acceptable to the contracting officer within the time limit prescribed by the contracting officer, then the offeror will be ineligible for award. Each subcontracting plan must include separate percentage goals for using small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns and Historically Black College/Universities and Minority Institutions. Subcontracting plans also include assurances that the A-E firm will submit periodic reports so the contracting officer can determine the extent of compliance with the subcontracting plan, as well as submit a required

Individual Subcontracting Report (ISR) and Summary Subcontracting Report (SSR) which is due bi-annually on 30 April and 30 October.

The command subcontracting goals must be considered when negotiating subcontracting plans, but do not necessarily have to be met for a plan to be acceptable. The subcontracting goals should be tailored to the specific circumstances of each contract, including the subcontractors proposed (and accepted) team on the SF 330 and the magnitude and nature of the work. FAR 19.705-4(c) cautions against setting unrealistically high goals that could “significantly increase the Government’s cost or seriously impede the attainment of acquisition objectives.” However, any plan with a small disadvantaged business goal of less than five percent must be approved one level above the contracting officer (DFARS 219.705-4).

The Indian Incentive Program: This program strives to provide opportunities to Indian organizations and Indian-owned economic enterprises. When authorized under the terms of the contract, any tier contractor may receive an incentive payment of 5 percent of the amount subcontracted to an Indian organization or Indian-owned economic enterprise.

Central Contractor Registration and Dynamic Small Business Search: All prime contractors must be registered in CCR in order to do business with the Federal Government. The Dynamic Small Business Search (DSB) is a search tool in the CCR for identifying small, 8(a), HUBZone, service-disabled, veteran-owned small business, and economically-disadvantaged, women-owned small businesses. The DSB database is available to Government contracting personnel as well as large DoD prime contractors as a resource for seeking potential small business sources. DSB is free to Government agencies as well as prime and other contractors seeking small business contractors, subcontractors and/or partnership opportunities. Businesses profiled in the DSB system can be searched by NAICS codes, key words, location, quality certifications, business type, ownership, and gender, etc. The Internet address is <http://www.ccr.gov/> or [http://dsbs.sba.gov/dsbs/search/dsp\\_dsbs.cfm](http://dsbs.sba.gov/dsbs/search/dsp_dsbs.cfm) .

Sub-Net: The SBA established a website designed primarily as a place for large businesses to post solicitations and notices, agencies, State and local governments, non-profit organizations, colleges and universities, and even small businesses can also use it for the same purpose. The purpose is to seek firms for subcontracting opportunities. The web site has shifted the traditional marketing strategy from the shotgun approach to one that is more focused and sophisticated. Instead of marketing blindly to hundreds of prime contractors, with no certainty that any given company has a need for their product or service, small businesses can now use their limited resources to identify concrete, tangible opportunities and then bid on them.

Order of Consideration:

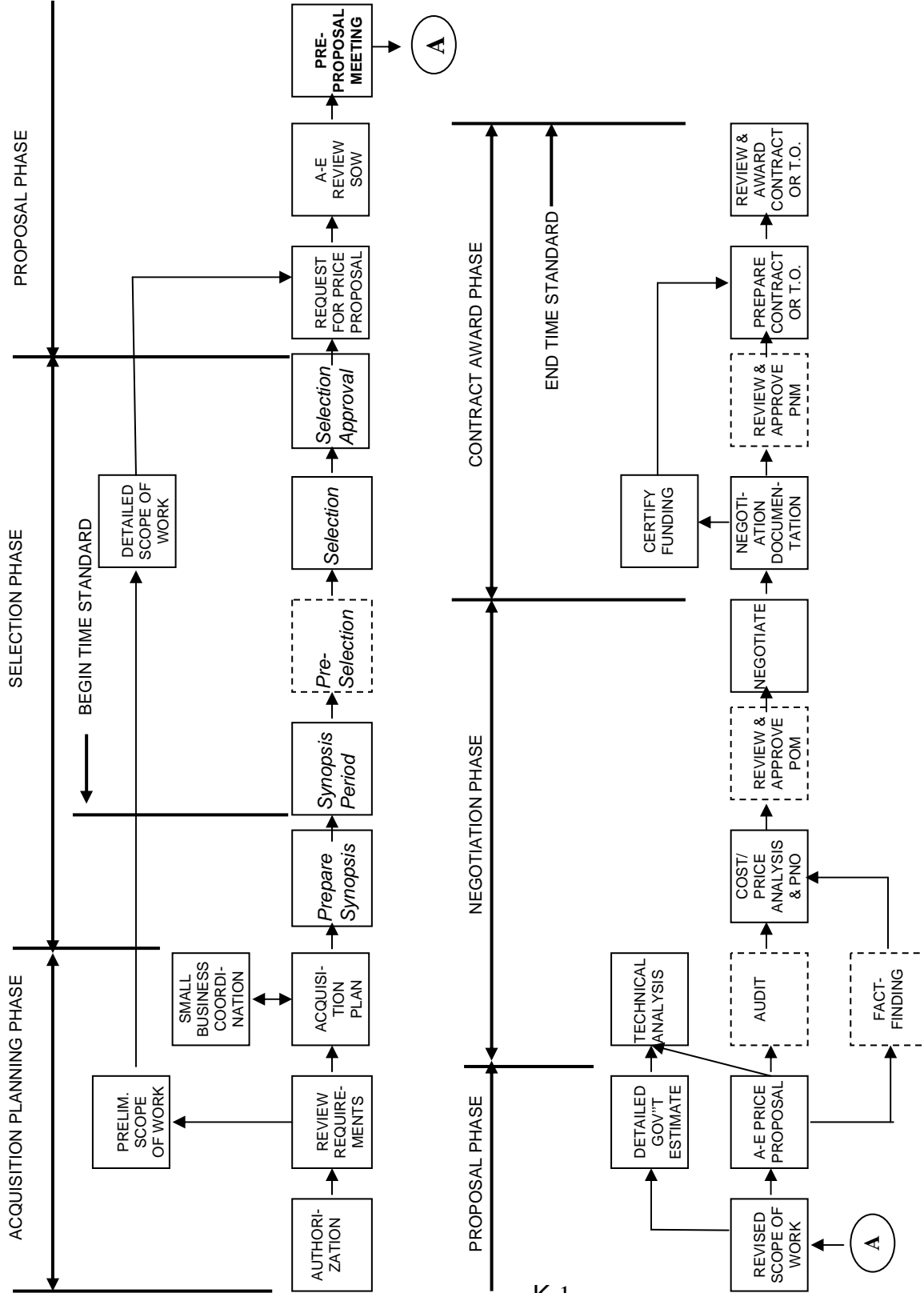
\$0 to 350,000	<ol style="list-style-type: none"> <li>1. Set-aside for 8(a), SDVOSB, EDWOSB or HUBZone**</li> <li>2. Set-aside for Small Business*</li> <li>3. Solicit on unrestricted basis</li> </ol>

Greater than \$350,000 and less than \$4 M for MILCON & Military Family Housing,	<ol style="list-style-type: none"> <li>1. Set-aside for 8(a), HUBZone, SDVOSB or EDWOSB **</li> <li>2. Solicit on unrestricted basis</li> </ol>
Greater than \$350,000 and less than \$4M, other than MILCON & Military Family Housing	<ol style="list-style-type: none"> <li>1. Set-aside for 8(a), HUBZone, SDVOSB or EDWOSB**</li> <li>2. Set-aside for Small Business*</li> <li>3. Solicit on unrestricted basis</li> </ol>
Greater than \$4,000,000 for MILCON & Military Family Housing,	<ol style="list-style-type: none"> <li>1. Set-aside for 8(a), HUBZone or SDVOSB **</li> <li>2. Solicit on unrestricted basis</li> </ol>
Greater than \$4,000,000 other than MILCON & Military Family Housing	<ol style="list-style-type: none"> <li>1. Set-aside for 8(a), HUBZone or SDVOSB **</li> <li>2. Set-aside for Small Business*</li> <li>3. Solicit on unrestricted basis</li> </ol>
<p>* In accordance with the Brooks A-E Act, in order to set-aside a procurement in the Small Business Program, a contracting officer must determine that there is a reasonable expectation of receiving at least three offers from highly qualified firms. If multiple awards will be made from one solicitation, the Contracting Officer must make a determination that a sufficient number of highly qualified firms will submit offers.</p> <p>**DFARs 219.205-1 (10 USC 2855) prevents setting aside these acquisitions. However, if the District is attempting to meet their respective Small Business goals, the Contracting Officer should consider if the requirement would be best suited as an 8(a), HUBZone, SDVOSB or EDWOSB (see FAR 19.1505(b)(2)) set-aside based upon meeting the activity's respective goals.</p>	



APPENDIX K

A-E Contracting Process



ACTIVITY NOT REQUIRED FOR ALL CONTRACTS OR TASK ORDERS

**ARCHITECT-ENGINEER CONTRACTING PROCESS**

ACTIVITIES ARE DEFINED ON PAGES K-2 THROUGH K-4  
ACTIVITIES IN *Italics* ARE NOT REQUIRED FOR TASK ORDERS

- ABBREVIATIONS:  
 A-E = ARCHITECT-ENGINEER  
 PNO = PRICE NEGOTIATION OBJECTIVES MEMORANDUM  
 POM = PRENEGOTIATION OBJECTIVE MEMORANDUM  
 PNM = PRICE NEGOTIATION MEMORANDUM  
 SOW = SCOPE OF WORK

## A-E Contracting Process

### Activity Definitions

#### 1. ACQUISITION PLANNING PHASE

Authorization. Receipt of a formal authorization or customer request to initiate a project or A-E contract. Assignment of the project or contract to project delivery team members in engineering, project management, contracting and other appropriate functional areas.

Review of Requirements. Review of the project or contract requirements. Coordination with the customer to understand and refine the requirements, and obtain other pertinent information including applicable engineering and architectural criteria, cost and schedule constraints, review and approval requirements, inherently governmental functions, likely COR candidates, and other requirement information.

Preliminary Scope of Work (SOW). Preparation of the preliminary SOW based on review of the requirements and coordination with technical personnel and the customer.

Acquisition Plan. Decision on performance by design-bid-build method, adapt build, or design-build (not procured as A-E services). Decision on which portion of work will be done by in-house personnel. Decision on packaging in one or multiple A-E contracts. Decision on appropriate A-E contract type. Development of a project management plan, including preliminary SOW, preliminary project budget (including preliminary estimate of A-E fee), schedule, and informal or formal acquisition plan, and their coordination with the customer and/or higher authority. Verification of the availability of funding with the customer.

Small Business Coordination. Coordination with the DSB and the SBA to identify prime contract and subcontracting opportunities for SB and SDB firms. Decision on set-aside for SB, ESB, 8(a), SDVOSB or HUBZone A-E firms. Preparation of DD Form 2579, Small Business Coordination Record.

2. SELECTION PHASE (Not applicable for task orders. However, if a task order can be issued under more than one IDC, then the decision on which contract to use must be documented in the contract file. See FAR 16.505(b)(1).)

Preparation of Synopsis. Preparation of the synopsis based on the preliminary SOW, and review and approval, as required. Electronic transmission of the synopsis to the FedBizOpps.

Synopsis Period. Minimum 30 days response period as required by FAR 5.203(c), for contracts expected to exceed the SAT.



Detailed Scope of Work. Development of a detailed SOW, including a description of the facility or project, design criteria, specific contract services and products, performance schedule, quality control requirements, and administrative instructions.

Preselection. A preselection board is optional. If a preselection board is not held, then its functions will be performed by the selection board. Gathering and organizing documents for evaluation by preselection and selection boards, including SFs 330 and performance evaluations. Conducting the preselection board and preparation of the board report. Scheduling board meetings, appointing board members, and preparing worksheets for both the preselection and selection boards should be done during the synopsis period.

Selection. Conducting a selection board and preparation of the board report.

Selection Approval. Review and approval of the selection report in accordance with the delegated selection authority in UAI/EFARS 36.602-4.

### 3. PROPOSAL PHASE

Request for Price Proposal (RFPP). Formal notification of selection for negotiation of a contract and RFPP sent to the most highly qualified firm. An RFPP is also sent for a task order under an IDC. The RFPP includes the draft contract (not applicable to task orders), SOW, project documentation and design criteria.

Scope of Work Review by A-E. Review of the SOW, project documentation and design criteria by the A-E firm to prepare for the preproposal conference, if needed, and the development of its proposal.

Preproposal Conference. Conference(s) among the A-E firm, USACE personnel, customer and others as appropriate to discuss and refine project and contract requirements. Conference(s) may be by telephone, at the project site, in the firm's office or elsewhere, as appropriate.

Revised Scope Of Work. Resolution of any issues raised at the preproposal conference(s) and revision of the SOW accordingly.

Detailed Government Estimate. Preparation and approval of an IGE based on a detailed analysis of the SOW as required by FAR 36.605. Coordination with the customer and/or higher authority on estimated funding requirements.

A-E Price Proposal. Preparation and submission of a price proposal by the A-E firm. Includes preparation of a small business subcontracting plan if the A-E firm is a large business and the proposal exceeds \$650,000 (not applicable for task orders).

Fact-Finding. Obtaining information in order to understand the A-E price proposal and its assumptions, and to clarify any ambiguities, omissions or uncertainties in the RFPP and

SOW prior to negotiations (FAR 15.406-1(a)). After fact-finding, a revised proposal may be requested.

#### 4. NEGOTIATION PHASE

Technical Analysis. Evaluation of the judgmental elements of the A-E proposal in accordance with FAR 15.404-1(e).

Audit. If considered necessary by the KO (FAR 15.404-2(a)).

Cost/Price Analyses and Prenegotiation Objectives (PNO). Evaluation of all cost elements of the A-E proposal in accordance with FAR 15.404-1(c), using the results of the technical analysis and the audit, if performed. Evaluation of the total price of the proposal and, as appropriate, the prices of phases or items of work in accordance with FAR 15.404-1(b). Based on the technical, cost and price analyses, development of the PNO in accordance with FAR 15.406-1. The proposal analysis and PNO are documented in a Prenegotiation Objective Memorandum (POM). Coordination with customer and/or higher authority on estimated funding requirements.

POM Review and Approval. Review and approval of the POM, in accordance with local procedures.

Negotiation. Negotiation of a fair and reasonable price in accordance with the POM. Includes negotiation of an acceptable small business subcontracting plan (if applicable) and approval by the KO prior to contract award.

#### 5. CONTRACT AWARD PHASE

Negotiation Documentation. Preparation of a PNM in accordance with FAR 15.406-3, preparation of the final SOW as a result of clarifications and changes during negotiations, and receipt of the final A-E proposal.

Funding Certification. Requesting, receiving and certifying the funds to award the contract or issue the task order.

Price Negotiation Memorandum (PNM) Review and Approval. Review and approval of the PNM in accordance with local procedures.

Contract Preparation. Preparation of SF 252, Architect-Engineer Contract, or preparation of DD Form 1155, Order for Supplies or Services, for a task order.

Contract Review and Award. Final review of the contract documentation and signing of the contract by the KO and the A-E firm, or signing of the task order by the KO.

APPENDIX L

Typical Durations for A-E Contracting Activities

1 Contracting Activity	Duration (Calendar Days)	
	Contract	Task Order
Synopsis Period	30	N/A
Preselection	10	N/A
Selection	10	N/A
Selection Approval	3	N/A
RFPP	7	3
SOW Review by A-E	7	2
Preproposal Conference	2	1
Revised SOW	10	4
Government Estimate	(9)	(7)
A-E Price Proposal	14	7
Proposal Analysis/PNO/POM	10	4
Negotiation	14	7
Negotiation Documentation/PNM	7	3
Funding Certification	(7)	(7)
Contract/Order Preparation	7	3*
Contract/Order Review and Award	14	3*
<b>1.1 TIME STANDARD</b>	<b>145</b>	<b>37</b>
<p>Notes:</p> <ol style="list-style-type: none"> <li>1. See Appendix B for acronyms.</li> <li>2. Durations in parentheses ( ) are not on the critical path of the contracting process.</li> <li>3. N/A = not applicable for task orders.</li> <li>4. Asterisk (*) indicates activities applicable for preparation and issue of task orders scoped and negotiated by outside customers, such as Army installations. Total duration = 6 days.</li> </ol>		



## APPENDIX M

### Streamlining Techniques for A-E Contracts and Task Orders

#### 1. GENERAL RECOMMENDATIONS

a. Develop a schedule for each A-E contract or task order showing the dates and responsible offices and persons for each contracting activity. All responsible staff members should agree with this schedule. Track actual dates compared to scheduled dates for each activity and document reasons for significant delays. Revise the schedule as required.

b. Assign a specific team member with the overall responsibility and accountability to track and control each A-E contracting schedule.

c. Encourage continual communication among A-E contracting team members.

d. Use automation and standardization to the maximum extent for preparing correspondence, public announcements, preselection and selection board reports, IGE, POM, PNM and other typical documents in the A-E contracting process.

e. Minimize the number of offices and persons who review each document such as public announcements, board reports, IGE, POM and PNM. Consider the "value added" of each reviewer and the dollar value, complexity and risk of the contract action. Conduct reviews concurrently whenever possible. Set a suspense date for each reviewer.

f. Delegate approval authorities to the lowest reasonable level, considering the dollar value, complexity, life safety risks and contracting risk of the contract action.

g. Colocate the Engineering Division and Contracting Division personnel that are principally involved in A-E contracting to improve communications, teamwork and efficiency.

h. Procure A-E services up to the micro-purchase threshold of \$3,000 using the Government purchase card.

#### 2. PUBLIC ANNOUNCEMENTS AND EVALUATION BOARDS

a. Coordinate proposed A-E acquisitions with the DSB early to avoid delaying release of public announcements.

b. Commanders do not have to approve the membership of each board. The designated chairperson may appoint members from a standing list of eligible personnel designated by the commander.

c. Have a sufficient number of alternate board members to ensure that boards are held when scheduled.

d. A board should stay convened and fully committed to its task until it is completed. Minimize disruptions.

e. Do not prepare or use elaborate tabulations of information from the SFs 330 since the board members must still personally review the SFs 330 and prepare a consensus evaluation.

f. A preselection board can usually be held within 2-3 days of the closing date of a synopsis, and a selection board within 3-5 days of the preselection board.

g. Consider eliminating preselection boards. One board can typically do the entire selection process in two days, including interviewing and ranking the most highly qualified firms, and drafting the board report. Not only is the total selection process substantially shortened, but the overall labor hours and costs are also considerably reduced.

h. Review of the SFs 330 by a preselection board may be divided up among the voting members. Each firm's submission is reviewed by one member, using the evaluation system established by the board. The review of each firm is then presented and discussed by the entire board, and consensus is reached on the evaluation of each firm. (This does not apply to selection boards.)

i. Use a standard preselection board cover memorandum report that can be prepared prior to the board meeting, and completed and signed by all board members at the meeting. Attach handwritten worksheets reflecting the board's consensus for each firm. Using this method, the report is completed when the board adjourns.

j. A preselection board report does not have to be separately approved. It can be attached to the selection board report and approved as a package.

k. Conduct telephone interviews with the most highly qualified firms, instead of in-person interviews, to the maximum extent possible. Typically, the firms need only be notified 2-3 hours in advance of the interview. A selection board should usually be able to evaluate the highly qualified firms, interview and rank the most highly qualified firms, and prepare a draft report in the same day.

l. Since equitable distribution of DOD work is a secondary criterion, do not compile or report DOD contract award data unless this criterion is used by a selection board as a "tie-breaker" in ranking the most highly qualified firms.

m. Use a standard selection board cover memorandum that can be completed and signed by all board members prior to adjourning the meeting. Written evaluations reflecting the board's consensus can be prepared in final form soon after the meeting and attached to the memorandum.

n. Commanders should delegate full selection authority as allowed by UAI/EFARS 36.602-4.

o. When MSC approval of a selection will be required, coordinate the schedule, selection criteria, and evaluation method in advance with the MSC.

### 3. NEGOTIATION AND AWARD

a. As soon as the selection is approved, notify the top ranked A-E firm by telephone. At the same time, notify the firm of the date and location for the preproposal conference. Promptly follow up the telephone call with a formal notification letter and RFPP. Similar procedures also apply to task orders.

b. Develop the SOW and assemble all pertinent criteria during the synopsis and selection period so that this information can be provided to the A-E firm immediately after selection notification and not delay the acquisition.

c. Carefully prepare for the preproposal conference and have the "right" people there who can make decisions in order to promptly and properly resolve issues. Aggressively pursue any SOW issues remaining after the conference, and resolve them before award.

d. If schedule is important, state in the public announcement the requirement to submit a price proposal within a specific period after the preproposal conference. Impress upon the A-E firm that the timeliness of their proposal may be considered in its performance evaluation if they are awarded a contract.

e. Use DOL "on-line" electronic wage rate determinations if the SCA applies to a contract.

f. A revised IGE is only required if there is a significant change in the Government's position, and is not required to justify accepting an A-E proposal greater than the IGE. The POM explains the significant differences between the IGE and the proposed Government negotiation position (PNO). Similarly, the PNM explains the significant differences between the PNO and the final negotiated price.

g. After receiving a price proposal, hold a fact-finding session(s) with the A-E firm to obtain information in order to understand the proposal and its assumptions, and to clarify the SOW and RFPP, as required. A revised price proposal may then be requested. The first proposal(s) must still be mentioned in the PNM.

h. Only require review and approval of the POM for large or complex actions. Hence, for most actions, the negotiators should be allowed to proceed with negotiations when they are adequately prepared and without higher-level review or approval. (Of course, only the KO can approve the final agreement. Hence, the negotiators should coordinate with the KO if they have any doubt about the course of the negotiations.)

i. Use tabular comparisons to simplify the preparation of cost and price analysis, technical analysis, PNO, and PNM. Express the PNO as ranges to give the negotiators flexibility.

j. Minimize the use of audits. Audit is a tool available to the KO and negotiators to assist in determining the reasonableness of a proposal. Typically, experience in pricing similar contract actions and market surveys published by A-E professional and industry organizations provide sufficient information to judge the reasonableness of a firm's proposal without requiring an audit.

k. If an audit is needed, advise the auditor of the requirement as soon as the A-E firm is selected for negotiations. Provide the auditor the request for price proposal and any data available on the firm so that the auditor can conduct preliminary research. Also, instruct the firm to submit a copy of their proposal directly to the auditor. Keep in close contact with the auditor during the conduct of the audit.

l. If a small business subcontracting plan is required, it should be submitted with the price proposal, and reviewed, negotiated and approved in parallel with the price negotiation.

m. Coordinate with the customer or higher authority, as appropriate, on estimated funding requirements prior to negotiations to avoid any "surprises" or delays in final funding authorization when negotiations are completed.

n. Do not require separate review and approval of a PNM. Instead, include the PNM with the contract action when it is staffed for review and signature.

o. After completing negotiations, begin preparation of the contract or task order while awaiting funds certification.

p. Initiate the pre-award survey and Equal Employment Opportunity Clearance (for contracts of \$10 million or more in accordance with FAR 22.805(a)) as soon as an A-E firm is selected for negotiations to avoid delaying contract award. (Not applicable to task orders.)



## APPENDIX N

### A-E Acquisition Planning

1. General. This appendix provides guidance on the preparation of Acquisition Plans, Overall Acquisition Strategies (OAS) and Acquisition of Services for A-E contracts. Policies and guidance on development and approval of acquisition plan/strategy are provided in the following regulations and instructions:

- a. FAR Subpart 7.1 – Acquisition Plan
- b. DFARS Subpart 207.1 – Acquisition Plans
- c. DFARS Policy, Guidance and Instructions (PGI) 207.1 – Acquisition Plans
- d. AFARS Part 5107 – Acquisition Planning
- e. USACE Engineer Regulation 5-1-11 (U.S. Army Corps of Engineers Business Process)
- f. AFARS 5137.590-7, Acquisition Strategy Content

2. Purpose. The overall purpose of acquisition planning is to help ensure effective, efficient, and successful accomplishment of the mission of USACE and the support needed by our customers. Effective planning is essential to effective accomplishment of all work. This principle also applies to acquisition of A-E contracts.

a. Benefits of Acquisition Planning. Effective acquisition planning for A-E contracts will help to ensure that the requirements for A-E contracts are well-formed, understood, and timely, and that the acquisition conforms to the applicable policies and procedures. A key benefit is to promote and provide for full and open competition or, when full and open competition is not required by the FAR and its supplements, to obtain competition to the maximum extent practicable. The acquisition planning for A-E contracts will also help to integrate the efforts of all members of the team that are responsible for significant aspects of the acquisition. Additionally, acquisition planning will allow leadership to focus more attention on the more complex, sensitive, and costly acquisitions planned by the District / Center, including reviews of the acquisition history for A-E services. Other benefits of planning for A-E acquisitions are to ensure that the planned acquisitions do not include performance of an inherently governmental function by a contractor, and that effective planning occurs for the post-award management and administration over the planned A-E contract(s). Finally, effective acquisition planning is essential to ensure that, to the maximum extent practicable; A-E contract requirements are structured to facilitate competition among small business concerns.

b. Timing of Acquisition Planning. Acquisition planning needs to begin as soon as the need for the acquisition is identified and this planning is to be performed annually before the start of each fiscal year. The plans should be updated as necessary when major changes occur in requirements, but no less frequently than mid-year. Normally, the District / Center should

develop their Overall Acquisition Strategy in the spring-summer timeframe for the upcoming FY. Individual Acquisition Plans should be developed far enough in advance to allow effective planning, review, and approval of the plan in order to support the requirements outlined in the plans.

## 2. A-E Acquisition Plans.

a. Types of Acquisition Plans. Acquisition planning is needed for all A-E acquisitions. More comprehensive, formal plans will be prepared for more complex, costly, and sensitive acquisitions.

(1). Overall Acquisition Strategies (OAS) document covering all anticipated acquisitions over \$1 million.

(2). Informal Acquisition Plans for A-E acquisitions approved at District/Center Level.

(3). Formal Acquisition Plans for A-E acquisitions requiring approval above the District/Center Level.

b. Thresholds for Preparation of Acquisition Plans. Formal Acquisition Plans shall be prepared for A-E services acquisitions when:

(1). Total cost of the contract is estimated at \$50 million or more for all years (e.g., sum of base and all option years of an A-E IDC) or \$25 million or more for any fiscal year.

(2). Any other A-E acquisition considered appropriate by DOD, DA, or USACE.

(3). Informal Acquisition Plans shall be prepared for all other A-E services acquisitions.

### c. Thresholds for Approval of Acquisition Plans:

(1). For Formal Acquisition Plans for contracts estimated at \$50 million or more for all years or \$25 million or more for any fiscal year, or any other A-E acquisition considered appropriate by DOD, DA, or USACE, the Acquisition Plan must be approved by the Principal Assistant Responsible for Contracting (PARC). This approval authority may not be redelegated.

(2). For Informal Acquisition Plans for all other A-E services contracts, the Acquisition Plan must be approved by the Contracting Officer.

(3). All Formal Acquisition Plans for A-E services must include the concurrence of the Contracting Officer, Chief of Engineering, competition advocate, local small and disadvantaged business utilization (SADBU) official, legal office, and other appropriate member(s) of the project delivery team that have significant roles in the planned acquisition.

d. Distribution of Acquisition Plans. Acquisition Plans which have not been approved cannot be released outside of USACE or the supporting contracting activity without the authorization of the Deputy Assistant Secretary of the Army for Procurement (DASA (P)).

e. Content and Format for A-E Acquisition Plans.

(1). General. The Acquisition Plan, either formal or informal, shall contain details on the justification for the monetary value and time durations for all proposed A-E contracts including fixed-price (“C”) contracts. Appropriate consideration shall be given to achieving an equitable distribution of differing business sizes and classes of A-E firms based on the anticipated known and contingent needs of the District/Center. The specific technical qualifications that are required by the acquisition shall be documented and included with the acquisition plan. Broad and general requirements should be avoided. Use of A-E IDCs should not supplant the requirement for the use of project-specific fixed-price A-E contracts. It is vital that District/Center acquisition planning ensure a balanced approach to create the needed and effective mix of in-house architectural and engineering services, fixed-price project-specific (“C”) contracts, existing and new A-E indefinite delivery contracts, design-build contracts, and other methods of delivery for planned and contingent work. The District’s/Center’s A-E acquisition plans must address all the technical, business, management, and other significant considerations that will control the acquisition. The specific content of the plans will vary, depending on the specific scope, circumstances, and type of A-E acquisition. In preparing the acquisition plan, the planners must follow the applicable regulations and instructions for both the acquisition and the A-E services being acquired.

(2). A-E Acquisition Plan Sections. Specific sections of all A-E Acquisition Plans are:

(a) Acquisition background and objectives. This section addresses: i) Statement of need; ii) Significant constraints affecting the acquisition; iii) Planned costs for the acquisition, including the Brooks Act requirements for primary design costs as a percent of estimated construction costs; iv) Description of required capabilities and performance characteristics; v) Basis for establishing delivery or performance-periods; vi) Description of technical, cost, and schedule risks, steps planned to reduce risks, and consequences of failure; and vii) plans to streamline the acquisition.

(b) Plan of action. This section addresses: i) prospective sources that can meet the needs outlined in the acquisition; ii) Plans to seek, promote, and sustain competition to include market research and subcontracting.

(c) A-E selection procedures. This section addresses the planned A-E selection procedures, including the timing of submission and evaluation of proposals, the relationship of evaluation factors to accomplishing the acquisition objective, and the extent of participation of small business and small disadvantaged business, historically black colleges and universities, and minority institutions in the acquisition.

(d) Acquisition considerations. This section addresses: i) selection of contract type; ii) use of multiyear contracting, options or other special contracting methods; iii) whether any

equipment will be acquired by lease or purchase and why; iv) any other contracting considerations; v) why this acquisition benefits the Government.

(e) Budgeting and funding plans. This section addresses: a description of the estimated monetary amounts of the planned acquisition and an explanation of how they were derived, and expected schedules for obtaining funds in a timely manner.

(f) Description of services. This section describes the various types of services needed, their expected volume, the principal regulatory guidance applicable to the service, the expected time/duration of the required services, and other information needed to create a clear understanding of what services are required and will be acquired under the acquisition.

(g) Verification that the services do not include inherently governmental functions.

(h) Management information systems to be used to monitor the A-E contractor's efforts.

(i) Logistical considerations.

(j) Description of government-furnished property.

(k) Description of government-furnished information.

(l) Environmental and energy conservation objectives associated with the acquisition.

(m) Security considerations.

(n) Plans for contract administration.

(o) Other considerations such as standardization, OSHA compliance, anti-terrorism; work in foreign environments; work in crisis situations; etc.

(p) Planned milestone schedule for the acquisition cycle to include the following: i) acquisition plan approval; ii) statement of work; iii) specifications; iv) data requirements; v) completion of acquisition package preparation; vi) approval of purchase request; vii) preparation of any needed justification and approval for other than full and open competition, and/or any required determinations and findings; viii) issuance of synopsis; ix) issuance of solicitation; x) evaluation of proposals; xi) beginning and completion of negotiations; xii) contract preparation, review, and clearance; xiii) contract award.

(q) List of participants who prepared the acquisition plan.

(r) List of attachments to the A-E acquisition plan.

(s) Signature page for concurrences with the contents of the acquisition plan.

3. Summary Format for Overall Acquisition Strategies for A-E Acquisitions Approved at District/Center level. [General acquisition plans for A-E acquisitions that are approved at the District/Center level may be compiled in a summary format similar to that shown below.]

<b>Indefinite Delivery Contracts to be acquired during next Fiscal Year (FY__)</b>						
	Type (2)	Primary User (3)	Total Value (\$000)	Total Duration of Contract (Years)	Value to be used in first fiscal year of performance period	Summary Justification (4)
1						
2						
3						
4						
5						
			Total		Total	
1. Plan shall be prepared and approved before beginning of FY and updated at a minimum at mid-FY.						
2. List if the planned acquisition is a multipurpose contract, mechanical engineering-related services, electrical engineering-related services, civil structural engineering-related services, topographic surveying-related services or other specialty architectural-engineering services.						
3. List if primary user will be Engineering Division (or branch or section within Eng. Div.), Construction Div., Installation, or other.						
4. Justification - add additional sheets.						

<b>Project-Specific Fixed Price ("C") Contracts to be acquired during next Fiscal Year (FY__)</b>				
	Purpose	Primary User (3)	Total Value (\$000)	Justification (4)
1				
2				
3				
4				
5				
			Total	

<b>Active Indefinite Delivery Contracts</b>						
	Type (2)	Primary User (3)	Total Value (\$000)	Total Duration of Contract (Years)	Expiration Date (dd/mm/yy)	Remaining Capacity (\$000)
1						
2						
3						
4						
5						
			<b>Total</b>			<b>Total</b>

The tables shall document requirements for A-E contracts to be acquired during the coming Fiscal Year. The tables should list the value of the already acquired IDCs that will be used for requirements during the upcoming Fiscal Year and the capacity that will remain on those contracts for future years. Also, the number of years that the indefinite delivery contract will be used shall be listed.

a. Narrative Discussion of Overall Acquisition Plans for A-E Acquisitions Approved at District / Center Level. The summary tables (above) that are prepared listing the A-E contract requirements for the upcoming Fiscal Year shall be accompanied by narrative descriptions that address the 19 factors for Acquisition Plans, as listed in paragraph 2.5.b. The narrative discussion shall be in sufficient detail to allow engineering, contracting, counsel, small business, competition advocate, project managers, and other stakeholders to review, understand, and approve the general plan for A-E acquisitions that are approved at the District/Center level.

4. Acquisition Strategy.

a. References:

(1). FAR Part 7, Acquisition Planning

(2). AFAR 5137.590

(3). Procurement Instruction Letter (PIL) 2011-11 Acquisition of Services and Army Service Strategy Process ( ASSP) and the attached Appendix A of this PIL Acquisition of Services Guidebook and Template July 2011

b. An Acquisition Strategy is required for an A-E contract when the total planned dollar value of the solicitation/contract is greater than the simplified acquisition threshold. The acquisition strategy addresses the technical, business, management, and other significant considerations that effect the decision on how best to satisfy a specific program/project requirement. It describes the outcomes to be satisfied through solicitation and award of specific service contracts, and coordinates the efforts of the Project Delivery Team in documenting the acquisition strategy that is considered to be most advantageous for the Government.

c. Market Research: A critical element is the identification of prospective sources for fulfilling the program statement of need/requirement. Market research (see FAR 5.001, FAR 10.001, and FAR 11.002) is the process of collecting and analyzing information on industry capabilities, interest and past performance in fulfilling the program statement of need/requirement. The information obtained from the market research results will also be used to determine if sources capable of satisfying the agency's requirements exist. The PDT must also address how the acquisition strategy will comply with the Government's policy to provide maximum practicable opportunities in its acquisitions to Small Business, Service-Disabled Veteran-Owned Small Business, HUBZone business and Small Disadvantaged Business (see FAR 19.201, DFARS PGI 219.2). Techniques for conducting market research are contained under FAR 10.002.

d. For acquisitions that require submission of both a acquisition strategy and an Acquisition Plan, the Chief of Contracting shall first submit the acquisition strategy to the Regional PARC. The acquisition strategy shall comply with the content requirements included under this template. Once the acquisition strategy is approved, the Chief of Contracting shall submit the acquisition plan. Since the acquisition strategy content also addresses the FAR acquisition plan documentation requirements, a streamlined Acquisition Plan may be submitted. The streamlined Acquisition Plan must reference the specific portions of the approved acquisition strategy which are being relied upon and have sufficient detail to fulfill acquisition plan substantiation requirements, note any changes in the acquisition approach or information relied upon since approval of the acquisition strategy, and also address the remaining FAR acquisition plan documentation requirements.

e. Responsibility for Submitting the Acquisition Strategy for Review/Approval.

(1). Acquisition strategy to the Regional PARC: The Contracting PDT member will be responsible for coordination and submission of the acquisition strategy to the Regional PARC. The District / Center will also coordinate the strategy and briefing (if applicable) with their Regional Contracting Chief early in the planning process for situational awareness.

(2). The Contracting PDT member will electronically provide (in MS Word and Adobe format) the A-E Acquisition Strategy, supporting documentation (if applicable), and signed District / Center signature page to the Regional PARC SharePoint . The Contracting PDT member will send an email notification to the Regional PARC Procurement Analyst advising that all acquisition documents have been uploaded. Upon receipt of the acquisition documents, the Regional PARC Procurement Analyst will send an email notice to the Contracting PDT member advising of receipt of the documents, and will initiate coordination of concurrent reviews for approval. The Regional Contracting Chief will be copied on the email notification messages (e.g., from the District / Center to the Regional PARC Procurement Analyst and from the Regional PARC Procurement Analyst when the acquisition strategy is approved).

(3). Unless otherwise authorized by the Decision Authority, the acquisition strategy must be approved in advance of issuance of any pre-solicitation notice(s) or issuance of any solicitation(s) to support the plan of action.

f. Review and approval of A-E s Acquisition Strategies.

DOCUMENT (REGULATORY CITE)	DOLLAR THRESHOLD	APPROVAL AUTHORITY	Estimated Approval Timeframe						
			Center/ District	PARC	HCA	DASA(P)	ASA(ALT) / SPE	DPAP	Total
<b>ACQUISITION STRATEGY</b>									
<b>Performance Based</b>									
Acquisition Strategy (AFARS 5137.590-4(g)) – service acquisitions	SAT≤\$10M	CCC/DCC	10						10
Acquisition Strategy (AFARS 5137.590-4(f)) – service acquisitions	>\$10M<\$250M	PARC	10	30					40
Acquisition Strategy (AFARS 5137.590-4(e)) – service acquisitions	≥\$250M<\$500M	HCA	10	30	14				54
Acquisition Strategy (AFARS 5137.590-4(d)) – service acquisitions	>\$500M<\$1B	DASA(P)	10	30	14	60			114
Acquisition Strategy (AFARS 5137.590-4(c)) – service acquisitions	≥\$1B	DPAP	10	30	14	60		105	219
Acquisition Strategy Notification (AFARS 5137.590-4(a)) – Non-IT	≥\$1B	DPAP	10	30	14	60		105	219
<b>Non-Performance Based</b>									
Acquisition of Services - not performance based (DFARS 237.170-2 (a)(2))	≤\$85.5M	HCA	10	30	14				54
Acquisition of Services - not performance based (DFARS 237.170-2 (a)(1))	>\$85.5M	SPE	10	30	14	60			114

References: Approved program documents, such as requirements documents, memorandums of understanding, determination and findings, justification of procurement method must be attached to the acquisition strategy if they are referenced in the body of the document.

Concurrences: Prior to submission of the acquisition strategy to the Regional PARC Analyst for process review, the acquisition strategies must include the concurrence of the District /Center local Small Business Administration Procurement Center Representative. The following represents the minimum PDT members whose signature must be included on the acquisition strategy signature page (see signature page noted below):

- (1). Chief of Contracting
- (2). Procuring Contracting Officer
- (3). Field Competition Advocate
- (4). Deputy of Small Business Programs
- (5). Office of Counsel
- (6). Program/Project Manager
- (7). Engineering Technical Representative

g. A-E Acquisition Strategy Template. Each acquisition strategy shall include the content required by AFARS 5137.590-7. The content of the information will vary depending on the nature, circumstances, and stage of the acquisition. Specific requirements regarding the information that is to be addressed under each paragraph are noted below:

- (1). Requirement. Describe the requirement and outcomes to be satisfied.



(2). Risk Management. Provide an assessment of current and potential technical, cost, schedule and performance risks, and the level of stated risks.

(3). Competition. Explain how full and open competition will be provided. If other than full and open competition applies to the acquisition, then provide an explanation of why, include the citation of the statutory authority that allows less than full and open competition, and provide a copy of the justification and approval as an attachment to the acquisition strategy. Describe the nature, extent and date(s) of the market research that was conducted. This should, at a minimum, address how the market research was performed, what information was sought of industry (to include a copy of the sources sought announcement), the identification of numbers of the types of categories of small businesses who responded (with narrative analysis), and a narrative explanation of the sources capable of performing the services and a discussion of how this information impacted the acquisition strategy for both prime and subcontracting opportunities.

(4). Small Business Implications. Include narrative to describe how the new acquisition will support the achievements of small business goals/targets and also support any other socio-economic and applicable directed programs.

(5). Business Arrangements. Describe how the acquisition will be funded, the type of business arrangements anticipated (e.g., single contract, indefinite delivery contract, and task orders under existing indefinite delivery contracts); describe the duration of each business arrangement (base period and all option periods); describe the cost estimate for the total planned acquisition, and describe the pricing arrangements (e.g., fixed price, cost reimbursement, labor hour, or variations, based on guidance in FAR Part 16). Task orders executed in accord with the base IDC terms and conditions do not require a separate review, provided the task order is issued under the approved conditions. At a minimum, address the following:

(a) Include the total estimated dollar value of the procurement, to include all options.

(b) Address whether funding is available and the type of funds that will be used; address the minimum guarantee amount, minimum and maximum order limits and total contract capacity for each Indefinite Delivery Contract included under the acquisition strategy; if a single award IDC will be solicited, include a copy of the Contracting Officer's written determination (ref: FAR 16.504(c)(1)(ii)(A) and (D)).

(c) Address the contract type and the basis for selection.

(d) Include a discussion of the source selection process - proposed evaluation criteria, and the basis for award.

(e) Discuss any waivers or deviations that will be required.

(f) Discuss contract administration to include what office will administer the contracts, as well as the involvement of the Contracting Officer's Representative (COR).

(g) Discuss the existing or planned management approach following contract award, to include the tracking procedures that will be used to monitor contract performance. This approach shall include, but not be limited to, a quality assurance surveillance plan and written oversight plans and responsibilities.

(h) Include a milestone schedule which contains the following key points up to time of award:

<b>Milestone</b>	<b>Date</b>
PDT Meeting to Establish Performance Metric and Acquisition Strategy Development	
Sources Sought Notice	
Review Interested Sources Qualifications	
Submittal of Acquisition Strategy to Regional PARC	
Anticipated Review/Approval of Acquisition Strategy	
Submission of Acquisition Plan to Regional PARC	
Anticipated Review/Approval of Acquisition Plan	
Synopsis Development	
Legal Review of Synopsis	
Issue Synopsis in FBO	
A-E Submission Due Date	
Determination of Most Highly Qualified Firms	
Interviews and Presentations (if applicable)	
Selection Report Completed	
Selection Report Approved	
Debriefings/Post Award Notifications	

Sample Regional PARC Coordination/Approval Page

ACQUISITION STRATEGY FOR  
<INSERT REQUIREMENT DESCRIPTION>  
<INSERT DISTRICT/CENTER NAME>

The following signatures indicate concurrence with the contents of this Acquisition Strategy.

\_\_\_\_\_  
<Typed Name>  
<Program Director or Project Manager Title  
< District/Center Name>

Date: \_\_\_\_\_

\_\_\_\_\_  
<Typed Name>  
<Engineering/ Technical Division Representative  
< District/Center or Name>

Date: \_\_\_\_\_

\_\_\_\_\_  
<Typed Name>  
Contracting Officer

Date: \_\_\_\_\_

\_\_\_\_\_  
<Typed Name>  
Deputy for Small Business Programs

Date: \_\_\_\_\_

\_\_\_\_\_  
<Typed Name>  
District/Center Counsel

Date: \_\_\_\_\_

\_\_\_\_\_  
<Typed Name>  
Field Competition Advocate

Date: \_\_\_\_\_

\_\_\_\_\_  
<Typed Name>  
<PARC-xxx> Counsel

Date: \_\_\_\_\_

\_\_\_\_\_  
<Typed Name>  
Regional Deputy for Small Business Programs

Date: \_\_\_\_\_

APPROVED BY:

\_\_\_\_\_  
<Typed Name>  
Principal Assistant Responsible for Contracting - <Insert Region>

Date: \_\_\_\_\_



## APPENDIX O

### Standard Synopsis Format for A-E Services

FAR 5.207(a) specifies a standard 18-item format for synopses. Most items are self-explanatory. Additional instructions are provided below for Items 6, 8, 17 and 18 to standardize synopses for A-E services throughout USACE.

#### ITEM 5. CLASSIFICATION CODE

All A-E services, except for surveying and mapping, will be listed under Service Code C (Architect and Engineering Services). Surveying and mapping contracts will be listed under Service Code T (Photographic, Mapping, Printing, and Publication Services), except those exclusively for boundary surveys, which will be listed under Service Code R (Professional, Administrative, and Management Support Services).

#### ITEM 7. SUBJECT

Title of proposed A-E contract in capital letters such as "DESIGN OF GENERAL PURPOSE WAREHOUSE, FT. RUCKER, AL" or "INDEFINITE DELIVERY CONTRACT FOR GEOTECHNICAL ENGINEERING WITHIN THE VICKSBURG DISTRICT." Include the location of project if the contract is for a specific project. Include the geographic area for an indefinite delivery contract.

#### ITEM 16. DESCRIPTION

The description will be divided into the following four standard parts:

**CONTRACT INFORMATION.** Include as appropriate:

- Include an introductory statement as follows:

“This contract(s) is being procured in accordance with the Brooks A-E Act as implemented in FAR Subpart 36.6. Firms will be selected for negotiation based on demonstrated competence and qualifications for the required work. See Numbered Note 24 for general information on the A-E selection process.”

- General nature of A-E services, such as design, studies, surveying and mapping, facilities master planning, or construction phase services. Do not use the terms "Title I" or "Title II," which are obsolete and have no statutory or regulatory basis.
- North American Industrial Classification System code, and size standard.
- Set-aside restrictions, if applicable. Also indicate in Item 18.
- Type of contract, such as FFP, IDC, or CPAF.

29 Feb 12

- Number of contracts. If multiple contracts, state how rank of firms will relate to award of contracts.
- If multiple IDCs, state method to be used to allocate task orders among contracts when two or more IDCs contain the same or similar scopes of work such that a particular task order might be awarded under more than one IDC. See FAR 16.505 for guidance.
- Anticipated start and completion dates of the contract.
- Proposed contract options, such as final design, construction phase services, or option periods for an IDC.
- Maximum contract amount, maximum task order amount (if applicable) and contract duration for an IDC.
- Subject to availability of funding statement (if applicable)
- Range of estimated A-E contract price, if construction costs are not applicable. Use the ranges in FAR 36.204 and DFARS 236.204.
- Subcontracting plan requirements and goals for large businesses if the contract price is estimated to exceed \$650,000. Include percentage goals for SB, SDB, woman-owned SB, veteran-owned SB, service-disabled veteran-owned SB, and HUBZone SB.
- Applicability of the Service Contract Act (FAR 22.10).
- Requirement for registration in Central Contractor Registration.

PROJECT INFORMATION. Include as appropriate:

- Brief description of the project and/or A-E services. Do not include selection criteria in this description, such as necessary disciplines and special experience requirements.
- Description of deliverables.
- Additional information on the geographic area of work for an IDC, if not clear from Item 7, Subject.
- Range of estimated construction cost, if applicable. Use the ranges in FAR 36.204 and DFARS 236.204.

SELECTION CRITERIA. List all selection criteria in relative order of importance following the general FAR and DFARS selection criteria.

State any justifiable minimum qualifications (such as minimum number of years of experience, minimum number of projects, or minimum number of personnel in a discipline). *Include only selection criteria that will be true discriminators in determining the most highly qualified firms.*

Begin this part with a statement similar to the following:

"The selection criteria for this particular project are listed below in descending order of importance (first by major criterion and then by each sub-criterion). Criteria a-f are primary. Criteria g-i are secondary and will only be used as "tie-breakers" among firms that are essentially technically equal."

Typical selection criteria include<sup>29</sup>:

a. Specialized Experience and Technical Competence:

- Experience of firm and its consultants in certain types of projects and/or features of work.
- Experience in energy conservation, pollution prevention, waste reduction, and the use of recovered materials, as appropriate.
- Experience of the prime firm and significant subcontractors in working together.
- Experience in adapting standard design packages.
- Specific technical capabilities, such as construction cost estimating or materials testing.
- Knowledge of specific laws and regulations.
- Compatibility with specific CADD equipment, and format of required CADD products.
- Knowledge of certain design criteria.

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<sup>29</sup> The criteria are listed in the order of importance that is usually most appropriate, however they may be ordered differently as warranted for specific contracts.

- Design quality management approach.
- Specialized equipment requirements.
- Knowledge of a foreign language.

b. Professional Qualifications:

- Professional and supporting disciplines, including registration or licensing requirements.

- Specific experience and training for certain personnel.

c. Past Performance: State this criterion similar to the following:

"Past performance on DoD and other contracts with respect to cost control, quality of work, and compliance with performance schedules, as determined from ACASS and other sources."

d. Capacity to Accomplish the Work:

- Ability to meet the schedule of the overall project and/or certain phases.
- Ability to provide a minimum number of teams or crews for surveying, inspections, data collection or similar services.
- Ability to accomplish a certain number of task orders simultaneously for an IDC.
- Minimum number of personnel in a certain discipline to be assigned to the project, when appropriate.
- If schedule is critical for the project, say so.

e. Knowledge of the Locality: Specific knowledge of certain local conditions or project site features, such as geological features, climatic conditions, local construction methods, or local laws and regulations. A general desire for a local firm must be translated into specific required knowledge of the locality.

f. SB and SDB Participation: Include this as a secondary criterion in all unrestricted synopses. State similar to the following:

"Extent of participation of small businesses (including women-owned), small disadvantaged businesses, historically black colleges and universities, and minority institutions in the proposed contract team, measured as a percentage of the total estimated effort."



g. Geographic Proximity: Proximity should normally only be used as a selection criterion for small or routine projects and IDCs in support of a specific installation(s). If used, this criterion should be secondary and stated similar to the following:

"Location of the firm in the general geographical area of \_\_\_\_\_."

h. Equitable Distribution of DOD Contracts: This is a secondary criterion to be included in all synopses. State similar to the following:

"Volume of DOD A-E contract awards in the last 12 months, with the objective of effecting an equitable distribution of DOD A-E contracts among qualified firms, including SB and SDB."

**SUBMISSION REQUIREMENTS.** Do not include any selection criteria in this part. Begin this part with a statement similar to the following:

"Interested firms having the capabilities to perform this work must submit \_\_\_ copies of SF 330 Part I and \_\_\_ copies of SF 330 Part II for the prime firm and all consultants to the above address not later than the response date indicated above. Solicitation packages are not provided. This is not a request for proposal."

Indicate any additional submittal requirements or instructions such as:

- Specific instructions for completing certain blocks of the SF 330.
- Information to include in SF 330, Part I, Section H, such as design quality management plan (DQMP), organization chart, or description of capabilities and equipment.
- Requirement for in-person presentations by the most highly qualified firms for significant projects.
- The specific address for delivery of the submission.
- Any page limitations.
- Selection and notification schedule.

#### ITEM 18. PLACE OF CONTRACT PERFORMANCE

Generally, this item is not applicable since most A-E services are performed in the A-E contractor's office. However, indicate in this item if the A-E contractor will be required to perform a significant amount of work at the project site.



APPENDIX P

Example Synopsis for Firm-Fixed-Price Contract

C -- DESIGN OF CONSOLIDATED TACTICAL EQUIPMENT MAINTENANCE SHOP,  
FORT BLISS, TX

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*General Information*

Document Type:	Presolicitation Notice
Solicitation Number:	W9126G -10-R-0024
Posted Date:	Jun 24, 2010
Original Response Date:	Jul 24, 2010
Current Response Date:	Jul 24, 2010
Archive Date:	Aug 23, 2010
Classification Code:	C – Architect and engineering services

*Contracting Office Address*

US Army Corps of Engineers, Ft. Worth District, P.O. Box 17300, ATTN:  
CESWF-ED-MS, Room 705, 819 Taylor Street, Ft. Worth, TX 76102-0300

*Description*

1. **CONTRACT INFORMATION:** This contract is being procured in accordance with the Brooks A-E Act as implemented in FAR Subpart 36.6. Firms will be selected for negotiation based on demonstrated competence and qualifications for the required work. See Numbered Note 24 for general information on the A-E selection process. A-E services are required for site investigation, planning, engineering studies, concept design, final design (option), and construction phase services (option) for the subject project. North American Industrial Classification System code is 541330, which has a size standard of \$4,500,000 in average annual receipts. This announcement is open to all businesses regardless of size. A firm-fixed-price contract will be negotiated. The contract is anticipated to be awarded in Nov 2010 and design completed by Apr 2012. If a large business is selected for this contract, it must comply with FAR 52.219-9 regarding the requirement for a subcontracting plan on that part of the work it intends to subcontract. The subcontracting goals for the Fort Worth District which will be considered in the negotiation of this contract are: (1) at least 61% of a contractor's intended subcontract amount be placed with small businesses (SB); (2) at least 9% of a contractor's intended subcontract amount be placed with small disadvantaged

businesses (SDB); (3) at least 5% of a contractor's intended subcontract amount be placed with women-owned SB (WOSB); (4) at least 3% of a contractor's intended subcontract amount be placed with service-disabled veteran-owned SB; (5) at least 3% of a contractor's intended subcontract amount be placed with veteran-owned SB; and (6) at least 3% of a contractor's intended subcontract amount be placed with HUBZone SB. The plan is not required with this submittal, but will be required with the fee proposal of the firm selected for negotiations. To be eligible for contract award, a firm must be registered in the Central Contractor Registration (CCR). Register via the CCR Internet site at <http://www.ccr.gov>.

2. PROJECT INFORMATION: 125,000 SF maintenance facility for heavy armored vehicles adapted from a standard Army design. Facility includes traveling bridge cranes, vehicle and industrial exhaust systems, fuel dispensing, battery charging, arms room with intrusion detection system (power conduit rough-in only), fire protection systems, oil-water separators, and waste oil disposal system. Supporting facilities include water, sewer, natural gas, HVAC, electric service, security lighting, parking, storm drainage, information systems, and general site improvements. Twelve buildings of approximately 119,000 SF containing asbestos will be demolished as a part of this project. The estimated construction cost of this project is between \$10,000,000 and \$25,000,000. Cost estimates must be prepared using the Corps of Engineers Micro Computer Aided Cost Estimating System (MCACES) – Second Generation (MII). MCACES software and training will be provided by the Corps. The contractor shall be responsible for accomplishing designs and preparing drawings using computer-aided design (CAD) and delivering the three-dimensional drawings in Bentley's MicroStation Version 8i CAD software. The Government will only accept the final product for full operation, without conversion or reformatting, in the target CAD software format, and on the target platform specified herein. Drawings shall be compliant with the current A/E/C CAD standard available from the CAD/BIM Technology Center, Engineer Research and Development Center.

3. SELECTION CRITERIA: The selection criteria for this particular project are listed below in descending order of importance (first by major criterion and then by each sub-criterion). Criteria a-e are primary. Criteria f-h are secondary and will only be used as "tie-breakers" among firms that are essentially technically equal.

a. Specialized experience and technical competence in:

- (1) Design of heavy equipment maintenance facilities.
- (2) Fire protection design for heavy equipment shops.
- (3) Industrial ventilation.
- (4) Sustainable design using an integrated design approach and emphasizing environmental stewardship, with experience in energy and water conservation and efficiency; use of recovered and recycled materials; waste reduction; reduction or elimination of toxic and harmful substances in facilities construction and operation; efficiency in resource and materials utilization; development of healthy, safe and productive work environments; and employing the LEED evaluation and certification methods.
- (5) Producing quality designs based on evaluation of a firm's design quality management plan (DQMP). The evaluation will consider the management approach, coordination of disciplines and subcontractors, quality control procedures, and prior experience of the prime firm and any significant subcontractors on similar projects.

b. Qualified professional personnel in the following key disciplines: project management (architect or engineer), architecture, fire protection

engineering, mechanical engineering, electrical engineering, structural engineering, and civil engineering. The lead architect or engineer in each discipline must be registered to practice in the appropriate professional field. The evaluation will consider education, certifications, training, registration, overall and relevant experience, and longevity with the firm. c. Past performance on DOD and other contracts with respect to cost control, quality of work, and compliance with performance schedules, as determined from PPIRS and other sources. d. Capacity to submit the concept design (35% complete) by June 2011, and complete the final design by April 2012. The evaluation will consider the experience of the firm and any consultants in similar size projects, and the availability of an adequate number of personnel in key disciplines. e. Knowledge of design of building envelopes and systems in hot, arid climate similar to Ft. Bliss. f. Extent of participation of SB (including WOSB), SDB, historically black colleges and universities, and minority institutions in the proposed contract team, measured as a percentage of the total estimated effort. g. Volume of DOD A-E contract awards in the last 12 months, with the objective of effecting an equitable distribution of DOD A-E contracts among qualified firms, including SB and SDB. h. Proximity to Ft. Bliss, TX. 4. SUBMISSION REQUIREMENTS: Interested firms having the capabilities to perform this work must submit two copies of SF 330 Part I, and two copies of SF 330 Part II for the prime firm and all consultants, to the above address not later than 4:00 PM on the response date indicated above. The SF 330 Part I shall not exceed 50 pages (8.5" x 11"), including no more than 5 pages for Section H. Each side of a sheet of paper is a page. Use no smaller than 12 font type. Include the firm's DUNS number in SF 330, Part I, Section H. In Section H describe the firm's overall DQMP. A project-specific design quality control plan must be prepared and approved by the Government as a condition of contract award, but is not required with this submission. In Section H also indicate the estimated percentage involvement of each firm on the proposed team. Facsimile transmissions will not be accepted. Solicitation packages are not provided and no additional project information will be given to firms during the announcement period. This is not a request for proposal.

*Point of Contact*

John Smith, (817)334-1234

Email your questions to US Army Engineer District, Fort Worth – Military at  
john.smith@usace.army.mil

*Place of Performance*

N/A



## APPENDIX Q

### Example Synopsis for Indefinite-Delivery Contract

#### T - HYDROGRAPHIC SURVEYING, PHOTOGRAMMETRIC MAPPING, AND BOUNDARY SURVEYING SERVICES FOR ST. LOUIS DISTRICT

##### *General Information*

Document Type:	Presolicitation Notice
Solicitation Number:	W9126G -10-R-0024
Posted Date:	Jun 24, 2010
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Archive Date:	Aug 23, 2010
Classification Code:	T - Photographic, mapping, printing, and publication services

##### *Contracting Office Address*

US Army Corps of Engineers, St. Louis District, 1222 Spruce Street, St. Louis, MO 63103-2833 – need to remove space between these two lines.

##### *Description*

1. **CONTRACT INFORMATION:** This contract is being procured in accordance with the Brooks A-E Act as implemented in FAR Subpart 36.6. Firms will be selected for negotiation based on demonstrated competence and qualifications for the required work. See Numbered Note 24 for general information on the A-E selection Process. The services will consist of hydrographic, photogrammetric mapping, and related ground and boundary surveying services to support engineering, design operations, maintenance, and construction of various navigation or flood control projects within or assigned to the St. Louis District. Two indefinite delivery contracts will be negotiated and awarded, each with a base year and four option years. The amount of each contract will not exceed \$5,000,000. Work will be issued by negotiated firm-fixed-price or labor-hour task orders. The contracting officer will consider the following factors in deciding which contractor will be selected to negotiate an order: performance and quality of deliverables under the current contract, current capacity to accomplish the order in the required time, uniquely specialized experience, and equitable distribution of work among the contractors. North American Industrial Classification System code is 541360, which has a size standard of \$4,000,000 in average annual receipts. *These contracts are set-aside for small businesses only.* The wages and benefits of service employees (see FAR 22.10) performing under these contracts must be at least equal to those determined by the

Department of Labor under the Service Contract Act, as determined relative to the employee's office location (not the location of the work). To be eligible for contract award, a firm must be registered in the Central Contractor Registration (CCR). Register via the CCR Internet site at <http://www.ccr.gov>.

2. PROJECT INFORMATION: Hydrographic surveying is required to support river and harbor navigation, reservoir sedimentation studies, beach and shoreline erosion studies, underwater hazard detection, dredging and construction measurement, and river/tidal hydraulic studies. Photogrammetric mapping requirements supporting the above projects will consist of aerial photography, analytical aerotriangulation, stereo mapping compilation, orthophotography, and land use/land cover interpretation. Ground survey data collection in support of photogrammetric mapping projects including establishment of necessary ground control (both horizontal and vertical) and profiles used for checking map photogrammetric map accuracy. Real property surveys of Government-owned land tracts, such as levees, reservoirs, or dredge disposal areas, may be required to establish or reestablish corners, monuments, and boundary lines, or for the purpose of describing, locating fixed improvements, or platting or dividing parcels. Work will be submitted in hard copy report format, hard copy F-size drawings, and/or automated/CADD format.

3. SELECTION CRITERIA: The selection criteria for this particular project are listed below in descending order of importance (first by major criterion and then by each sub-criterion). Criteria a-e are primary. Criteria f and g are secondary and will only be used as "tie-breakers" among firms that are essentially technically equal.

a. Specialized experience and technical competence in:

- (1) Hydrographic surveying and mapping expertise in the areas of river and harbor navigation, reservoir, beach, and shoreline surveys/studies, underwater hazard detection, construction and dredging measurement and payment, and river/tidal hydraulic studies, using differential GPS, acoustic, and conventional survey techniques.
- (2) Own or lease an automated hydrographic survey vessel of 19-30 foot length capable of being trailered to and operating in US inland and coastal waters, equipped with an automated single-beam 200 KHz acoustic depth measurement system, full motion compensation, side scan sonar imaging for underwater object detection, and multi-beam acoustic imagery from a single transducer source.
- (3) Experience in photogrammetric production for large and small scale (between 1"=50' with 1' contours and 1"=2,000' with 50' contours).
- (4) Photogrammetric equipment currently certified precision aerial mapping camera, photographic lab for reproducing aerial photographic and mapping products, hardware and software to perform fully analytical aero-triangulation, analytical stereoplotter instrumentation interfaced for digital data collection of planimetric and topographic features, DTM, DEM data collection and manipulation of terrain data, digital data editing facilities, ability to provide orthophoto products (hardcopy and digital), and airborne GPS capabilities for aircraft navigation and photo control.
- (5) Technical production expertise consistent with utilization of photogrammetric equipment.
- (6) Capability to collect and deliver digital data (2D and 3D) properly formatted on appropriate media.
- (7) Ability to provide ground survey control planning and acquisition in support of photogrammetric mapping. Required skills include establishment of horizontal and vertical control points, traverses and level loops utilizing survey grade transits, EDM systems, levels, and Global Positioning System



(GPS) equipment. (8) Contractor facilities must have capability to deliver digital data on CDROM, optical rewritable disks, 8mm tapes, and DVD disks. Digital data must be readable and fully operational with US Geological Survey DLG-3, AutoCAD, ARC/INFO (GIS), ERDAS, and Microstation J formats. (9) Own or lease static/kinematic GPS equipment capable of subcentimeter measurement accuracy, electronic total station with data collector. b. Qualified personnel in the following key disciplines: (1) Licensed civil engineers. (2) Registered land surveyors. (3) Engineering, surveying, CADD and photogrammetric technicians. The evaluation will consider education, training, registration, voluntary certifications (e.g., ACSM Certified Hydrographer or ASPRS Certified Photogrammetrist), overall and relevant experience, and longevity with the firm. c. Past performance on DoD and other contracts with respect to cost control, quality of work, and compliance with performance schedules, as determined from PPIRS and other sources. d. Capacity to perform approximately \$1,000,000 in work of the required type in a one-year period. The evaluation will consider the availability of an adequate number of personnel in key disciplines and equipment availability. e. Knowledge of boundary and coordinate systems in states within the boundaries of the St. Louis District (IL and MO). f. Extent of participation of SB (including WOSB), SDB, historically black colleges and universities, and minority institutions in the proposed contract team, measured as a percentage of the total estimated effort. g. Volume of DOD A-E contract awards in the last 12 months, with the objective of effecting an equitable distribution of DoD A-E contracts among qualified firms, including SB and SDB. 4. SUBMISSION REQUIREMENTS: Interested firms having the capabilities to perform this work must submit two copies of SF 330 Part I, and two copies of SF 330 Part II for the prime firm and all consultants, to the above address not later than 4:00 PM on the response date indicated above. The SF 330 Part I shall not exceed 50 pages (8.5" x 11"), including no more than 5 pages for Section H. Each side of a sheet of paper is a page. Use no smaller than 12 font type. Include the firm's DUNS number in SF 330, Part I, Section H. In SF 330, Part I, Section H describe owned or leased equipment that will be used to perform this contract, as well as CAD capabilities. In Section H, describe the firm's overall DQMP. A project-specific design quality control plan must be prepared and approved by the Government as a condition of contract award, but is not required with this submission. In Section H also indicate the estimated percentage involvement of each firm on the proposed team. Solicitation packages are not provided and no additional project information will be given to firms during the announcement period. This is not a request for proposal.

Point of Contact -Dennis Morgan, (314) 331-8373 - Email your questions to US Army Engineer District, St. Louis, MO – Civil Works at [dennis.morgan@usace.army.mil](mailto:dennis.morgan@usace.army.mil)  
Place of Performance: N/A



## APPENDIX R

### Architect-Engineer Contract Administration Support System (ACASS)

1. Introduction. ACASS is an automated database of A-E qualifications, DOD A-E contract awards, and A-E performance evaluations. ACASS is a sub-component of the Navy's Contractor Performance Assessment Reporting System (CPARS). It is managed by the Contractor Appraisal Information Center (CAIC) in the Contracting Division of the USACE Portland District. ACASS is primarily used by DOD agencies, but other Federal agencies also use ACASS to prepare evaluations and access information.

#### 2. Regulatory Basis.

a. ACASS fulfills the following FAR requirements, thereby eliminating this responsibility for individual offices:

(1) FAR 36.603 (a) and (b) to maintain files of SF 330 Part II on firms wishing to be considered for Government contracts.

(2) FAR 36.603(c) to classify each firm with respect to location, specialized experience, professional capabilities and capacity.

(3) FAR 36.603(d)(1) to encourage firms to update their SF 330 Part II annually.

(4) FAR 36.603(d)(3) to maintain records on contract awards in the past year.

(5) FAR 36.603(d)(4) to maintain performance evaluation files. (The original copy of all performance evaluations must still be maintained in the official contract file).

(6) FAR 36.604(a) to prepare a performance evaluation for each contract over \$30,000.

(7) FAR 36.604(c) to distribute performance evaluations to all contracting offices and retain them on file for six years.

b. ACASS use is directed by the DFARS as follows:

(1) DFARS 236.602-1(a) and PGI 236.602-1(a)(4) directs that A-E evaluation boards use performance evaluations from ACASS. (ACASS is not referred to by name in the DFARS but as the central data base operated by the US Army Engineer Division, North Pacific. The CAIC has since been transferred to the Portland District.)

(2) DFARS 236.602-1 and PGI 236.602-1(a)(6)(A) requires that the volume of work awarded by DOD in the previous 12 months be considered in A-E selections and that this data be obtained from ACASS.

(3) DFARS 236.604(c)(i) requires that all DOD agencies forward A-E performance evaluations to ACASS.

### 3. Functions.

a. Identification of Firms: Until October 2005, the ACASS number was used to identify firms. In the modernized ACASS system, the Data Universal Numbering System number (DUNS number; see FAR 2.101) is used to identify firms. The DUNS number of the parent company is linked to the DUNS number of all branch offices and subsidiaries.

b. A-E Performance Evaluations. In the modernized ACASS system, the entire evaluation process is Internet-based. All draft evaluations are sent electronically to the contractor for comment. Permission to prepare evaluations in ACASS is controlled, on a contract-by-contract basis, by local individuals who serve as system “Focal Points”. During the evaluation process, draft evaluations are automatically routed between the Rating and Reviewing Officials, and the Government contractor. Completed evaluations will be automatically sent to the Federal-wide Past Performance Information Retrieval System (PPIRS; see Appendix F for website), where contractors can access their own evaluations using a password. The Office of Management and Budget (OMB) mandates that Government employees use PPIRS when retrieving evaluations for source selection purposes.

c. A-E Qualifications. The SF 330 is to present the general qualifications of A-E firms. A central Federal website allows A-E firms to voluntarily submit their SF 330 Part II. This website is part of the On-Line Representations and Certifications Application (ORCA; see Appendix F for website). Firms are responsible for keeping their SF 330 Part II up-to-date in ORCA. If an A-E firm has a SF 330 Part II on file in ORCA, it can be retrieved using the firm’s DUNS number. ACASS automatically receives the SF 330 part II information from ORCA. Government personnel can retrieve SFs 330 part II from ACASS by applying for the “Business Analysis Reports” access. The ACASS search function for firms meeting specified qualifications uses the SF 330 Part II information.

d. DoD A-E Contract Award Data. In ACASS, contract award data is obtained electronically from the Directorate for Information Operations and Reports (DIOR; and PGI 204.670-2 and 3) and retained for 3 years after contract award. Future plans are for contract award data to be obtained from the Federal Procurement Data System – Next Generation (FPDS-NG); see Appendix F for website). An update of this appendix will be issued after the link between ACASS and FPDS-NG is completed.

e. Consolidated A-E Report. The ACASS system provides a consolidated report containing performance evaluations, qualification information (SF 330 Part II), and contract award data for an A-E firm. The qualifications are received from ORCA (if a firm has a SF

330 Part II on file), and the contract award data from FPDS-NG. The report consists of summarized information for a quick overview, followed by a full report. Evaluations may be retrieved by contract number, firm name or DUNS number.

f. Other Reports. Several other reports are available from ACASS. These reports include performance evaluation status, various summaries of system access and usage, and summaries of performance evaluations by office and agency.

#### 4. Usage.

a. Instructions. The CAIC issues instructions on accessing and using ACASS.

b. Access and Release of Information. ACASS access and use shall be limited to Federal Government agencies and A-E firms doing business with the Federal Government. Qualification data and performance evaluations shall be released only to the respective firm and Government contracting offices having a bona fide need for this data. Firms can only see information about themselves. The only time firms can see their draft performance evaluations is during the 30 day period allotted for them to electronically compile and return their remarks / rebuttal to the rating official.

c. Assistance. USACE offices may contact the CAIC for assistance, as follows:

US Army Engineer District, Portland  
ATTN: CENWP-CT-I  
P.O. Box 2946  
Portland, Oregon 97208-2946  
Telephone: (503) 808-4590 or 4591  
Facsimile: (503) 808-4596



## APPENDIX S

### Consideration of Past Performance in A-E Selections

1. Past performance is an important consideration in the selection of A-E firms. Past performance is an indicator of a firm's ability to perform a contract successfully. (Experience is *what* a firm has done. Past performance is *how well* it has done.) The Government must be fair and reasonable in its application of past performance information since it can have a significant bearing on contractor selection. This appendix addresses some of the considerations when evaluating past performance.
2. The principal guidance on the use of past performance information in A-E selections is found in the following references:
  - a. Federal Acquisition Regulation (FAR) 15.304 -15.306, and 36.602-1(a)(4).
  - b. Guide to Collection and Use of and Past Performance Information (PPI), Department of Defense ([http://www.acq.osd.mil/dpap/Docs/PPI\\_Guide\\_2003\\_final.pdf](http://www.acq.osd.mil/dpap/Docs/PPI_Guide_2003_final.pdf)).
3. Although (DFARS 236.602-1 and PGI 236.602-1(a)(4)) states performance evaluations be retrieved from ACASS, The Office of Management and Budget issued guidance in 2002, requiring that evaluations used for source selection purposes be retrieved from PPIRS. PPIRS will be queried for all prime firms. Performance evaluations for any significant subcontractors may also be considered. Any credible, documented information on past performance can be considered and a selection board should exercise judgment in seeking credible past performance information from other sources. Complete evaluations, and not summaries, will be reviewed if a selection board is considering downgrading or eliminating a firm due to adverse past performance.
4. Selection boards must also consider any information that a firm submits on its past performance on recent similar contracts, including design-build contracts. This information can be for key personnel, specific elements of a company or major subcontractors, which is especially important for new companies entering the marketplace or for mergers of previous companies. It is the responsibility of the firm to explain how the past performance information is relevant to the proposed contract. A firm can also provide information on problems encountered in prior contracts and discuss actions that it has taken to remedy any unsatisfactory performance. This would be especially important for companies that have acquired the resources of other previous companies.
5. A board must ensure that a firm has had an opportunity to comment on any adverse performance if that information is a factor in the firm not being selected. A board can generally assume that firms have had an opportunity to comment on adverse evaluations in ACASS, since this is required by FAR 36.604(a)(4) for A-E contracts. However, this may not be true for evaluations obtained from other sources. Also, a performance evaluation of a design-build contract that addresses an A-E firm's design performance can also be considered, provided the firm is given an opportunity to comment on the evaluation which it may not have seen before.

6. A board will consider the relevancy of past performance information to the proposed contract. The more relevant the information, the more weight it carries. Relevancy includes at least the following factors:

a. Similarities of the work in terms of complexity, scope and size. The more similar a firm's past work to the specific requirements of the proposed contract, the more weight the past performance information should be given. Give more emphasis to a firm's past performance on the projects that it cites in its SF 330 as relevant specialized experience.

b. Key personnel, branch offices, and subcontractors involved. Do not consider past performance information on personnel, subordinate or affiliated offices, or subcontractors who will not be used in the proposed contract. The past performance of an office that has been acquired by buying or merger with other companies can be considered if that office is proposed for use in the contract.

c. Firm's role in proposed contract. Companies form various teaming arrangements, such as a joint venture and prime contractor-subcontractor, with each company assigned certain roles in the proposed contract. Focus more heavily on the past performance of each company in similar roles.

d. Currency. The more recent the past performance information, the more indicative it is of a firm's likely performance on the proposed contract. An evaluation board may set a reasonable limit on the "age" of evaluations that will be considered.

e. General trends in a firm's performance. If a firm received an adverse evaluation in the past but more recent evaluations show a clear improvement trend, then give the prior evaluation little weight. This would be especially pertinent for a recently acquired branch office that is now under new management control.

f. Credibility and detail of the past performance report. Give more weight to formal Federal evaluations. Be careful using simplistic evaluations from private clients. And again, be especially cautious if the evaluation is unsatisfactory since the offeror may not be aware of it.

g. DOD Contracts. A firm that has earned excellent evaluations on recent DOD A-E contracts for similar projects will be ranked relatively higher on past performance (DFARS 236.602-1 and PGI 236.602-1(a)(6)(B)).

7. If no relevant past performance information is available on a firm, the firm will be given a neutral evaluation regarding past performance.



## APPENDIX T

### Example Preselection Board Report

The following example preselection board report corresponds to the project described in the synopsis in Appendix P. Only representative excerpts of the report are shown as indicated. The cover and each page of the report containing source selection information will be labeled "SOURCE SELECTION INFORMATION - SEE FAR 2.101 AND 3.104." (All pages labeled as such in this pamphlet are for illustrative purposes only and are not actual source selection information.)

The report would be organized as follows:

- FOR OFFICIAL USE ONLY Cover Sheet (DA Label 87)
- Cover memorandum (example enclosed). Since this memorandum contains only factual background information, it can be prepared prior to the board meeting. The memorandum is then signed at the conclusion of the meeting while all board members are still readily available.
- Enclosure 1: Synopsis. Enclose a copy of the actual published synopsis and any amendments to the original synopsis.
- Enclosure 2: List of firms. The list of firms, with addresses, that responded to the synopsis will be prepared prior to the board meeting. The list may then be manually marked (such as with asterisks) at the conclusion of the preselection board to identify the highly qualified firms.
- Enclosure 3: Completed evaluation worksheets for each firm (example enclosed). Worksheets may be handwritten (example is shown typed for publication clarity.) The blank worksheets are prepared prior to the board meeting, including the firm names and addresses, and inserted in the appropriate submissions, ready for review and evaluation by the board. The worksheet directly replicates the selection criteria from the synopsis.

Using this report format, the report is completed when the preselection board adjourns.

MEMORANDUM FOR CHAIRPERSON, A-E SELECTION BOARD

SUBJECT: Report of the Architect-Engineer Preselection Board - Design of Consolidated Tactical Equipment Maintenance Shop, Fort Bliss, TX, Project No. 04145

1. References.

- a. FAR 36.602 and supplements.
- b. EP 715-1-7, Architect-Engineer Contracting and local supplements.
- c. Synopsis, 24 June 2010, for the subject project (enclosure 1).

2. Board Information. The preselection board met on 28 July 2004 in the Fort Worth District. The board was conducted in accordance with references 1.a and 1.b. The using agency was invited to participate and accepted. The names and positions of all board members are shown on page 2.

3. Description of Project and A-E Services. A description of the project and the required A-E services is provided in reference 1.c. The current working estimate for construction of this project is \$11,800,000. The estimated A-E contract price is \$650,000.

4. Firms Considered. The board considered a total of 25 firms that responded to the synopsis as listed in enclosure 2. Joint ventures are identified as (JV).

5. Highly Qualified Firms. The board evaluated the firms using the primary selection criteria announced in reference 1.c. The firms marked with an asterisk (\*) on enclosure 2 are considered to be highly qualified to perform the required A-E services and are recommended to the selection board. The remaining firms were not considered highly qualified for the reasons noted on the evaluation worksheets in enclosure 3.

SOURCE SELECTION INFORMATION - SEE FAR 2.101 AND 3.104.

CESWF-ED-MS

SUBJECT: Report of the Architect-Engineer Preselection Board - Design of Consolidated Tactical Equipment Maintenance Shop, Fort Bliss, TX, Project No. 04145

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Name  
Grade/Position/Title  
Office/Organization  
Member

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Name  
Grade/Position/Title  
Office/Organization  
Member

---

Name  
Grade/Position/Title  
Office/Organization  
Member

---

Name  
Grade/Position/Title  
Office/Organization  
Chairperson

3 Encls

SOURCE SELECTION INFORMATION - SEE FAR 2.101 AND 3.104.

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PRESELECTION BOARD EVALUATION WORKSHEET - PAGE 1

Synopsis Date: 24 Jun 10 Preselection Board Date: 28 Jul 10

Title of Project: Design of Consolidated Tactical Equipment Maintenance Shop

Location of Project: Fort Bliss, TX Project No.: 04145

Firm Name/Address: *Best Architects, Inc., El Paso, TX*

HIGHLY QUALIFIED - YES/NO                      CRITERION/REMARKS

**SPECIALIZED EXPERIENCE/TECHNICAL COMPETENCE:**

NO Design of heavy equipment maintenance facilities: *Only 1 small (20,000 sq. ft.) shop 4 years ago*

NO Fire protection design for heavy equipment shops: *No exp. indicated*

YES Industrial ventilation: *Numerous projects.*

NO Sustainable design: *Minimal exp. Mostly energy conservation. No exp. with LEED.*

YES Ability to produce quality designs as evidenced by DQMP: *Thorough plan.*

**PROFESSIONAL QUALIFICATIONS:**

YES Project management:

NO Architecture: *No exp. with maint. shops or similar facilities. Only with firm 6 months*

NO Fire protection engineering: *Exp. mostly admin. bldgs. Not registered.*

NO Mechanical engineering: *Exp. mostly admin. bldgs.*

YES Electrical engineering:

YES Structural engineering:

YES Civil engineering:

SOURCE SELECTION INFORMATION - SEE FAR 2.101 AND 3.104.

PRESELECTION BOARD EVALUATION WORKSHEET - PAGE 2

Encl 3

Title of Project: Design of Consolidated Tactical Equipment Maintenance Shop  
Location of Project: Fort Bliss, TX Project No.: 04145

Firm Name/Address: *Best Architects, Inc., El Paso, TX*

PAST PERFORMANCE: *1 Sat. eval. in ACASS- Fire Sta., Ft. Polk, Design Phase, 15 Jun 01*

CAPACITY TO ACCOMPLISH WORK IN REQUIRED TIME:

NO Experience with similar size projects: *Largest maint. shop only 20,000 sq. ft.*

Capacity of key disciplines:

YES Project management:

NO Architecture: *Back-up arch. is not R.A.*

NO Fire protection engineering: *Technician is only back-up*

NO Mechanical engineering: *5 mech engr. but only 1 w/ exp. in maint. Shops*

YES Electrical engineering:

NO Structural engineering: *Only 1 struct. engr. - no back-up*

YES Civil engineering:

KNOWLEDGE OF LOCALITY:

YES Design of buildings in hot, arid climate:

RECOMMENDED TO SELECTION BOARD AS HIGHLY QUALIFIED:

YES X NO

SOURCE SELECTION INFORMATION - SEE FAR 2.101 AND 3.104.



## APPENDIX U

### Example Selection Board Report

The following example selection board report corresponds to the project described in the synopsis in Appendix P and the preselection board report in Appendix T. Only representative excerpts of the report are shown as indicated. The cover and each page of the report containing source selection information will be labeled "SOURCE SELECTION INFORMATION - SEE FAR 2.101 AND 3.104." (All pages labeled as such in this pamphlet are for illustrative purposes only and are not actual source selection information.) The report would be organized as follows:

- FOR OFFICIAL USE ONLY Cover Sheet (DA Label 87)
- Cover memorandum (example enclosed).
- Enclosure 1: Approved preselection board report with its enclosures.
- Enclosure 2: Rationale for elimination of highly qualified firms (example enclosed).
- Enclosure 3: Interview questions (example enclosed). Common questions asked all firms and specific questions asked individual firms. Any information obtained from the interviews that influenced the board's decision will be discussed in the rationale for ranking the most highly qualified firms.
- Enclosure 4: Rationale for ranking the most highly qualified firms (example enclosed).
- Enclosure 5: SFs 330 of the most highly qualified firms.

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29 Feb 12

CESWF-ED-MS (715)

xx Date xxxx

MEMORANDUM THRU CHIEF, ENGINEERING DIVISION

FOR COMMANDER

SUBJECT: Report of the Architect-Engineer Selection Board - Design of Consolidated Tactical Equipment Maintenance Shop, Fort Bliss, TX, Project No. 04145

1. References:

- a. FAR 36.602 and supplements thereto.
- b. EP 715-1-7, Architect-Engineer Contracting, and local supplements thereto.
- c. Memorandum, CESWF-ED-MS, 28 July 2010, subject: Report of the Architect-Engineer Preselection Board - Design of Consolidated Tactical Equipment Maintenance Shop, Fort Bliss, TX, Project No. 04145 (enclosure 1).

2. Board Information. The selection board met on 3 August 2004, in the Ft. Worth District. The board was conducted in accordance with references 1.a and 1.b. The using agency was invited to participate and accepted. The names and positions of all board members are shown on page 2.

3. Evaluation of Most Highly Qualified Firms. The board evaluated the nine highly qualified firms in the referenced preselection report using the announced primary selection criteria (enclosure 1 to reference 1.c.). The board determined that the three firms listed in paragraph 5 have the highest qualifications for the required services and are the most highly qualified firms. The other firms were eliminated from further consideration as explained in enclosure 2.

4. Interviews. Telephone interviews were conducted with each of the most highly qualified firms to confirm and clarify information submitted in response to the synopsis, and to discuss each firm's approach for the project and their capabilities. Firms were asked the questions listed in enclosure 3.

SOURCE SELECTION INFORMATION - SEE FAR 2.101 AND 3.104.



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SUBJECT: Report of the Architect-Engineer Selection Board - Design of Consolidated Tactical Equipment Maintenance Shop, Fort Bliss, TX, Project No. 04145

5. Recommended Firms. After the interviews, the board ranked the most highly qualified firms as discussed in enclosure 4. Since there were no technically equal firms, the secondary selection criteria were not applied. The selection board recommends that the following firms, in order of preference, be approved for negotiations. The SFs 330 for these firms are at enclosure 5.

- a. Jones Architects, Inc., Houston, TX.
- b. Richards and Roberts, P.C., San Antonio, TX.
- c. Building Design Associates, Inc., Atlanta, GA.

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Name  
Grade/Position/Title  
Office/Organization  
Member

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Name  
Grade/Position/Title  
Office/Organization  
Member

---

Name  
Grade/Position/Title  
Office/Organization  
Member

---

Name  
Grade/Position/Title  
Office/Organization  
Chairperson

5 Encls

The recommendations of the selection board are approved.

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Name  
Commanding

---

Date

29 Feb 12

CESWF-ED-MS

SUBJECT: Report of the Architect-Engineer Selection Board - Design of Consolidated Tactical Equipment Maintenance Shop, Fort Bliss, TX, Project No. 04145

#### RATIONALE FOR ELIMINATION OF HIGHLY QUALIFIED FIRMS

Smith and Wesson, Inc., Dallas, TX. This firm has designed three maintenance facilities similar to this project in the last five years, whereas the most highly qualified firms have designed five or more similar facilities. Pipes and Fanz, the mechanical consultant, has done 24 fire protection projects for \$326,000 in gross fees in the last five years (profile code F03, SF 330, Part II, block 10), compared to the fire protection consultants proposed by all of the most highly qualified firms which have each done at least 50 projects for over \$1,500,000 in fees in the last five years. Smith and Wesson has considerably less experience in sustainable design than the most highly qualified firms. The proposed lead architect has designed only one equipment shop compared to three or more for the lead architects proposed by the most highly qualified firms. The experience of the mechanical engineer is mostly in administrative buildings, not heavy equipment maintenance shops as demonstrated by the mechanical engineers proposed by most highly qualified firms. Finally, this firm has little experience in designing in hot, arid climates.

Other firms would be discussed similarly.

SOURCE SELECTION INFORMATION - SEE FAR 2.101 AND 3.104

Encl 2

CESWF-ED-MS

SUBJECT: Report of the Architect-Engineer Selection Board - Design of Consolidated Tactical Equipment Maintenance Shop, Fort Bliss, TX, Project No. 04145

### INTERVIEW QUESTIONS

All Firms:

1. Have there been any significant changes in your qualifications since you submitted your SFs 330 for this project?
2. List your Department of Defense A-E contract awards in the last 12 months.
3. Discuss three important lessons learned from the relevant projects on your SF 330 Part I that would be applicable to this project.
4. Discuss your quality control procedures to ensure the proper coordination of disciplines.
5. How will your firm manage the project to ensure the concept design is finished by June 2011?
6. Describe your firm's approach for involving the actual facility users in the design process.

Jones Architects, Inc.: Will your cost estimator prepare the cost estimate independent of the individual designers, or will the designers prepare their appropriate parts of the estimate and the cost estimator compile the overall estimate?

Building Design Associates, Inc.: Although your firm and your mechanical consultant have each designed many equipment maintenance shops, you have only designed one shop together as a team, and that was three years ago. How will you overcome this lack of familiarity with each other's work methods?

SOURCE SELECTION INFORMATION - SEE FAR 2.101 AND 3.104.

Encl 3

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SUBJECT: Report of the Architect-Engineer Selection Board - Design of Consolidated Tactical Equipment Maintenance Shop, Fort Bliss, TX, Project No. 04145

#### RATIONALE FOR RANKING OF MOST HIGHLY QUALIFIED FIRMS

1. Jones Architects, Houston, TX. This firm was ranked first for the following reasons:

a. **Specialized Experience and Technical Competence.** This firm has designed nine heavy equipment maintenance shops in the last five years (including four Army), more than any other responding firm. Their fire protection consultant has designed 110 projects in the last five years, earning \$5,500,000 in fees, the most fire protection experience of any responding firm. The firm and its consultants have strong experience in sustainable design, especially energy conservation, use of recovered materials, and use of LEED methodologies. The firm presented a very thorough design quality management plan, including effective procedures for coordinating disciplines and consultants. During the interview the firm discussed several important lessons they learned from designing other maintenance shops that will be beneficial to this project, such as a new type of non-slip flooring for shop areas.

b. **Professional Qualifications.** All of the lead professional personnel are registered and have extensive experience in this type of project. In particular, the lead architect has 21 years experience, including 11 years with Jones Architects, and has designed eight maintenance facilities in the last five years. Also, the fire protection engineering will be performed by a registered fire protection engineer who has 33 years experience, and has designed the fire protection systems for all of the nine maintenance facilities designed by Jones Architects in the last five years.

c. **Past Performance.** Jones Architects has a very good performance record on DoD contracts based on a review of the evaluations in ACASS: two excellent, four above average, and one average. Both of the excellent ratings were for Army equipment maintenance facilities.

d. **Capacity.** All of the nine maintenance shops designed by Jones Architects in the last five years have been very similar in size to this project. They have adequate depth in all disciplines. Their current workload is moderate.

e. **Knowledge of Locality.** The firm and its consultants have designed several buildings in hot, arid climates similar to Ft. Bliss.

SOURCE SELECTION INFORMATION - SEE FAR 2.101 AND 3.104.

Encl 4

CESWF-ED-MS

SUBJECT: Report of the Architect-Engineer Selection Board - Design of Consolidated Tactical Equipment Maintenance Shop, Fort Bliss, TX, Project No. 04145

2. Richards and Roberts, P.C., San Antonio, TX. This firm was ranked second for the following reasons:

a. Specialized Experience and Technical Competence. This firm has designed seven heavy equipment maintenance facilities in the last five years, slightly less relevant experience than the top ranked firm. Also, the mechanical/electrical consultant has been in business only three years, and has somewhat less fire protection design experience than the consultant proposed by the top ranked firm. They presented a very effective design quality management plan.

b. Professional Qualifications. All of the lead professional personnel are registered and have considerable experience in this type of project, though typically less than the top ranked firm. Specifically, the lead architect has 15 years total experience, including five with Richards and Roberts, and has designed five maintenance shops. Also, the mechanical and electrical engineers have only done two maintenance facilities, compared to seven facilities designed by the mechanical/engineer consultants of the top ranked firm.

c. Past Performance. This firm has a satisfactory performance record on DOD contracts, though not as strong as the top ranked firm. The firm has four evaluations in ACASS: one above average and three average.

d. Capacity. This firm's capacity to perform the project is comparable to the top ranked firm.

e. Knowledge of Locality. The firm and its consultants have designed several buildings in hot, arid climates similar to Ft. Bliss.

3. Building Design Associates, Inc., Atlanta, GA. This firm was ranked third for the following reasons:

a. Specialized Experience and Technical Competence. Building Design Associates has considerable experience in designing maintenance shops (five in the last five years), but not as much as the first and second ranked firms. Also, this firm has only done one shop design with their mechanical consultant whereas the first and second ranked firms have substantial experience with their important consultants.

SOURCE SELECTION INFORMATION - SEE FAR 2.101 AND 3.104.

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b. Professional Qualifications. The qualifications of the key personnel are very similar to the second ranked firm.

c. Past Performance. Building Design Associates has two performance evaluations in ACASS, both averages.

d. Capacity. This firm has only three architects and does not have the depth in this discipline that the first and second ranked firms have. This project will require two architects. If the firm takes on much additional work it could impact their ability to perform this project on time.

e. Knowledge of Locality. The firm and its consultants have designed two buildings in hot, arid climates similar to Ft. Bliss.

SOURCE SELECTION INFORMATION - SEE FAR 2.101 AND 3.104.

## APPENDIX V

### Advance Selection Process

1. Authorization. The advance selection of A-E firms for a specific type of work is authorized by UAI/EFARS 36.602(S-100). This appendix provides implementing procedures.

2. Applicability.

a. If two or more A-E contracts for the same type of work are reasonably anticipated in a given period in a particular geographic area, a single synopsis and selection process covering that particular type of work may be conducted prior to receiving specific authorization for any work of that type. The contracts must have similar requirements such that generally the same firms would have been interested and selected if the contracts were synopsized and selected individually. *This process does not apply to IDCs.*

b. This process is appropriate for the design of a specific type of construction project (such as barracks, Army Reserve Centers, airport runways, utility monitoring and control systems, family housing upgrades, flood protection structures, or shoreline erosion prevention), specific types of engineering or architectural services (such as seismic studies, asbestos surveys, interior architectural renovations, or real property master planning), or topographic or hydrographic surveying and mapping services. If one or more of the anticipated projects have unique requirements such as special seismic, geologic, or environmental conditions, then this procedure is not appropriate for those unique projects. Specific unique projects can be cited as being excluded in the synopsis and separate synopses issued for those projects.

c. This method may either be applied on a district or MSC basis. If applied on a MSC basis, the MSC will select a lead district to issue the synopsis and coordinate the A-E evaluation board(s).

3. Synopsis. A brief, written justification will be approved by the Chief, Contracting Division prior to issuing a District-wide synopsis. Similarly for an MSC-wide synopsis, a justification will be approved by the Director of Contracting, and provided to the lead District to issue a synopsis. The synopsis will indicate that none of the projects are yet authorized and that funds are not presently available for any contracts (see FAR 32.703-2(a) and 32.705-1(a) and the clause at 52.232-18). An example synopsis is enclosed.

4. Selection.

a. For a MSC-wide synopsis, all concerned districts should participate in the preselection (if held) and selection boards. Using agency participation is not required.

b. The selection process will proceed through the approval of a ranked list of most highly qualified firms. All of the selected firms must be technically equal and most highly

qualified, based on the primary selection criteria. The ranking of the selected firms must be based only on the secondary selection criteria<sup>30</sup>. The number of selected firms may be more or less than the anticipated number of contracts, but at least three firms must be deemed technically equal and most highly qualified. Otherwise, the synopsis must be canceled and regular selection procedures used.

c. A selection based on a District-wide synopsis must be approved by the MSC if the price of any contract resulting from the synopsis is estimated to exceed the District's delegated selection authority. A selection based on a MSC-wide synopsis must be approved by the MSC. The selected firms will be notified of their ranking. The selected list of firms must be used for all work of the designated type during the period stated in the public announcement. Separate synopses for specific contracts for this type of work shall not be issued later unless specifically identified as excluded in the generic synopsis.

5. Negotiation and Award. When the first contract for the designated type of work is authorized, then the top ranked firm will be issued a request for price proposal and negotiations initiated. When a subsequent contract is authorized or when negotiations on a previously authorized contract have not been successful, negotiations shall begin with the next ranked firm that has not been offered a contract for negotiation. If the list of ranked firms is exhausted, the negotiation cycle shall begin again with the top ranked firm. If a selection is MSC-wide, the MSC will control the approved list of ranked firms. When a district authorized to perform a project, then they will advise the MSC and be assigned the next firm for negotiation. Contracts resulting from an advance selection process may be awarded for a period of up to one year after the date of selection approval.

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<sup>30</sup> The Brooks Act requires that negotiation begin with the highest qualified firm. Hence, all of the selected firms must be equally (and highest) qualified in order that negotiation of the second and subsequent contracts may begin with other than the first firm on the selection list. The highest qualified firms are determined by application of the primary selection criteria which considers technical capabilities. Their ranking is then determined by the secondary selection criteria, which are socioeconomic, and not technical, in nature.



EXAMPLE ADVANCE SELECTION SYNOPSIS

C -- DESIGN OF VEHICLE MAINTENANCE SHOPS IN AR, LA, NM, OK & TX

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*General Information*

Document Type:	Presolicitation Notice
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Classification Code:	C – Architect and engineering services

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US Army Corps of Engineers, Ft. Worth District, P.O. Box 17300, ATTN:  
CESWF-ED-MS, Room 705, 819 Taylor Street, Ft. Worth, TX 76102-0300

*Description*

1. CONTRACT INFORMATION: a. General: This contract is being procured in accordance with the Brooks A-E Act as implemented in FAR Subpart 36.6. Firms will be selected for negotiation based on demonstrated competence and qualifications for the required work. See Numbered Note 24 for general information on the A-E selection process. North American Industrial Classification System code is 541330, which has a size standard of \$4,500,000 in average annual receipts. This announcement is open to all businesses regardless of size. b. Nature of Work: A-E services are expected to be required for the design of approximately four Army and Air Force vehicle maintenance shops in the Southwestern Division (Ft. Worth and Tulsa Districts) of the Corps of Engineers (AR, LA, NM, OK & TX). A-E services may include site investigation, planning, engineering studies, concept design, final design (option), and construction phase engineering support (option). The A-E contracts will be awarded between Oct 2010 and Sep 2011. Concept designs will usually be completed within 3-6 months of contract award and final design completed within 6-9 months of concept design approval. c. Contract Award Procedure: This will be the only announcement for the design of vehicle maintenance shops in the Southwestern Division during the next 12 months. A separate firm-fixed-price contract will be negotiated and awarded for each project. A list of at least three most highly qualified and technically equal firms will be selected using the primary criteria listed below. If there are not at least three most highly qualified and technically equal firms, the synopsis will be canceled. The firms

will be ranked for order of negotiation using the secondary criteria listed below. When a directive for the first project of this type is received, negotiations shall begin with the top ranked firm. When a directive is received for a subsequent project, or if negotiations with a firm for a project are unsuccessful, negotiations shall begin with the next ranked firm that has not been offered a contract for negotiation. If the list of ranked firms is exhausted, the negotiation cycle shall begin again with the top ranked firm. None of the projects have been authorized for design and funds are not presently available for any contracts (see FAR 52.232-18). To be eligible for contract award, a firm must be registered in the Central Contractor Registration (CCR). Register via the CCR Internet site at <http://www.ccr.gov>.

d. Subcontracting Plan: If a large business is selected for this contract, it must comply with FAR 52.219-9 regarding the requirement for a subcontracting plan on that part of the work it intends to subcontract. The subcontracting goals for the Fort Worth District which will be considered in the negotiation of this contract are: (1) at least 61% of a contractor's intended subcontract amount be placed with small businesses (SB); (2) at least 9% of a contractor's intended subcontract amount be placed with small disadvantaged businesses (SDB); (3) at least 5% of a contractor's intended subcontract amount be placed with women-owned SB (WOSB); (4) at least 3% of a contractor's intended subcontract amount be placed with service-disabled veteran-owned SB; (5) at least 3% of a contractor's intended subcontract amount be placed with veteran-owned SB; and (6) at least 3% of a contractor's intended subcontract amount be placed with HUBZone SB. The plan is not required with this submittal, but will be required with the fee proposal of the firm selected for negotiations. 2.

**PROJECT INFORMATION:** Vehicle maintenance shops ranging from 25,000 to 150,000 square feet. Facilities typically include traveling bridge cranes, vehicle and industrial exhaust systems, fuel dispensing, battery charging, arms room with intrusion detection system (power conduit rough-in only), fire protection systems, oil-water separators, and waste oil disposal system. Supporting facilities typically include water, sewer, natural gas, HVAC, electric service, security lighting, parking, storm drainage, and information systems. The estimated construction cost range of individual projects is \$1,000,000 to \$10,000,000. 3.

**SELECTION CRITERIA:** The selection criteria for this particular project are listed below in descending order of importance (first by major criterion and then by each sub-criterion).

Criteria a-e is primary. Criteria f and g are secondary and will only be used as "tie-breakers" among firms that are essentially technically equal. a. Specialized experience and technical competence in: (1) Design of vehicle maintenance shops. (2) Fire protection design for maintenance shops. (3) Design of waste oil collection and disposal systems. (4) Design of fuel dispensing facilities. (5) Sustainable design using an integrated design approach and emphasizing environmental stewardship, with experience in energy and water conservation and efficiency; use of recovered and recycled materials; waste reduction; reduction or elimination of toxic and harmful substances in facilities construction and operation; efficiency in resource and materials utilization; development of healthy, safe and productive work environments; and employing the LEED evaluation and certification methods. (6) Producing quality designs based on evaluation of a firm's design quality management plan (DQMP). The evaluation will consider the management approach, coordination of disciplines and subcontractors, quality control procedures, and prior experience of the prime firm and any significant subcontractors on similar projects. b. Qualified professional personnel in the following key disciplines: project management (architect or engineer), architecture, fire protection engineering, mechanical engineering, electrical engineering, structural engineering, and civil

engineering. The lead architect or engineer in each discipline must be registered to practice in the appropriate professional field. The evaluation will consider education, certifications, training, registration, overall and relevant experience, and longevity with the firm. c. Past performance on DOD and other contracts with respect to cost control, quality of work, and compliance with performance schedules, as determined from PPIRS and other sources. d. Capacity to perform the work in the required time. The evaluation will consider the experience of the firm and any significant consultants in similar size projects, and the availability of an adequate number of personnel in key disciplines. e. Experience in the design of buildings in the general region of the Southwestern Division. f. Extent of participation of SB (including WOSB), SDB, historically black colleges and universities, and minority institutions in the proposed contract team, measured as a percentage of the total estimated effort. g. Volume of DOD A-E contract awards in the last 12 months, with the objective of effecting an equitable distribution of DOD A-E contracts among qualified firms, including SB and SDB. 4. SUBMISSION REQUIREMENTS: Interested firms having the capabilities to perform this work must submit two copies of SF 330 Part I, and two copies of SF 330 Part II for the prime firm and all consultants, to the above address not later than 4:00 PM on the response date indicated above. The SF 330 Part I shall not exceed 50 pages (8.5" x 11"), including no more than 5 pages for Section H. Each side of a sheet of paper is a page. Use no smaller than 12 font type. Include the firm's DUNS number in SF 330, Part I, Section H. In Section H describe the firm's overall DQMP. A project-specific design quality control plan must be prepared and approved by the Government as a condition of contract award, but is not required with this submission. In Section H also indicate the estimated percentage involvement of each firm on the proposed team. Solicitation packages are not provided and no additional project information will be given to firms during the announcement period. This is not a request for proposal.

*Point of Contact*

John Smith, US Army Engineer District, Fort Worth – Military, (817)334-1234 or email your questions to john.smith@usace.army.mil

*Place of Performance: N/A*



## APPENDIX W

### Example Statement of Work

Scope of Work  
Architect-Engineer Services for  
Plans and Specifications  
Rio Descalabrado Section 205 Flood Control Project  
Santa Isabel, Puerto Rico

#### 1. REFERENCES.

1.1. Indefinite Delivery Contract (IDC). This task order will be issued under IDC W9126G-10-D-0022, dated 12 July 2010.

1.2. Federal, State/Commonwealth, and Industry Standards. Some applicable Federal, State/Commonwealth, and industry standards are referenced below and listed in Exhibit A. All applicable standards, including those that are not referenced or listed, constitute criteria for the design of this project.

2. PRECEDENCE. This Scope of Work (SOW) and the accompanying Exhibit A provide specific instructions for the design of this project and, in case of conflicts, take precedence over the requirements of Section C of the IDC.

3. OVERVIEW. The project is located in the floodplain of the Rio Descalabrado basin at the rural community of Playita Cortada. Playita Cortada is located on the southern coast of Puerto Rico and is part of the Municipality of Santa Isabel. Playita Cortada lies on the south side of Highway 1, about 5 kilometers west of the town of Santa Isabel and 20 kilometers east of Ponce. The community extends along the east flood plain of Rio Descalabrado from the highway to the coastline. Approximate ground elevation in the area ranges from 1 meter mean sea level (msl) at locations near the sea to 6 meters msl at P.R. Highway 1. East of the community, along the beach, is a mangrove forest approximately 13 hectares (32 acres) in size. A small creek, which runs east of Playita Cortada, forms the eastern border of the mangrove forest. Another smaller creek runs parallel to the eastern border of the community and merge the first mentioned creek within the mangrove forest. The Rio Descalabrado drainage area is about 49.3 square kilometers (19 square miles). The project consists of:

3.1. Levees: A 3,690 meter long ring levee, designed to protect against the standard project flood, will be constructed along the west, north and east side of Playita Cortada. P.R. Highway 1 will ramp over the levee at two locations at the northwest and northeast section of the levee.

3.2. Drainage Ditches: Minimum drainage ditches and culverts to convey local runoff are included on the interior and exterior levee sides.

29 Feb 12

3.3. Culverts: Six drainage structures consisting of corrugated metal pipes (CMP) with concrete headwalls and wingwalls. Three of these six structures will provide interior drainage. Culverts near the ocean will be equipped with flapgates on the levee floodside to prevent backflow into the interior protected area.

3.4. Recreation Features: A 6'-wide asphalt biking and hiking trail will be constructed on the levee crown. The P.R. Highway 1 ramps will include self-actuated traffic lights and appropriate signs in order to accommodate pedestrian and bicycle traffic. Bollards will be installed on the levee to prevent vehicles from accessing the levee at these crossings. A sufficient number of lockable, removable bollards will be provided for authorized vehicle access to the levees. Four covered picnic tables will be installed on each end of the levee near the ocean.

4. DESCRIPTION OF WORK. This SOW covers all services required to prepare plans, specifications, and other supporting documents necessary for construction of the project features described in the Rio Descalabrado Final Detailed Project Report, dated February 2009. A complete design, including a bid schedule, an order of work clause, a construction contractor submittal register, quantity and cost estimates, M-CACES construction cost estimates, a proposed construction schedule, design analyses and calculations, a design documentation report, an engineering considerations and instructions report, and a draft operations and maintenance manual shall be developed for this project.

5. REQUIRED A-E SERVICES. The A-E shall perform the services indicated in this Scope of Work, including Exhibit A, and Section C of the IDC. These services will be provided in three distinct phases:

- a. Concept (30%) Design
- b. Preliminary (60%) Design
- c. Final (100%) Design

The drawings, specifications, and all other submittal items for this task order will be prepared using metric units of measurement.

5.1. Drawings.

5.1.1. General. The A-E shall prepare drawings in a manner that clearly and adequately delineates the work to be accomplished by the construction contractor. Design documents will be sufficiently detailed to permit construction contractors to submit responsive bids without visiting the project site. The cover sheet will be signed and stamped by principal of the firm who is a registered professional engineer. All drawings will be created using Computer Aided Design-Building Information Modeling (CAD-BIM) technology and shall conform to the Tri-Service A/E/C CADD Standards, Release 1.7. These CAD-BIM standards are available on the Internet at <https://caddim.usace.army.mil/CAD> . Additional criteria for preparation of drawings are contained in ER 1110-2-1200.

5.1.2. CAD Files. One CAD (\*.DGN) file shall be used per drawing (sheet). All design and site condition features will be shown in each CAD drawing file. No reference files will remain except for the border file, photos and other raster files (\*.COT).

5.1.3. Format. All drawings and sketches will be provided in both hard copy and MicroStation™ file format. Full-sized drawings shall be developed as “F” sized sheets (41” x 29” at the trim line) and shall utilize the standard Corps of Engineers Jacksonville District title block. Half-sized drawings are to be provided on 20½” x 14½” (at the trim line) sheets. Original drawings and details must be of adequate size, and be clear and sharp, so that the use of half-size reproducible will result in legible and easy to read copies.

## 5.2. Specifications.

5.2.1 General. The A-E shall utilize the Unified Facilities Guide Specifications (UFGS) which are the set of master guide specifications reflecting HQUSACE technical policy. These guide specifications are available over the Internet at <http://www.hnd.usace.army.mil/techinfo/engpubs.htm>. SPECSINTACT software will be used for the preparation of project specifications in accordance with ER 1110-1-8155.

5.2.2. Bid Schedule and Contract Clauses. The A-E shall prepare a project bid schedule that includes all required payment items. Consult the Jacksonville District Project Engineer in developing the bid schedule. The Government retains responsibility for preparation of Division 00 contract clauses (Sections 00 11 00, 00 45 00, 00 72 00 and 00 73 00).

5.2.3. Outline Specifications. The A-E shall develop an outline specification listing the proposed guide specifications and A-E-prepared sections that will be used for the project. The outline specification will list the guide specification number and title for each proposed section. Sections shall be arranged within their respective divisions, in numerical order. New specification sections, developed by the A-E, will be numbered to fall in their respective division at a logical location.

5.2.3.1. Division 1 specifications are now part of the UFGS. Note that the Government shall decide what parts of Division I specifications will be prepared by the AE firm. See the following web site for additional information: [http://www.wbdg.org/ccb/browse\\_org.php?o=70](http://www.wbdg.org/ccb/browse_org.php?o=70)

The Government will provide Jacksonville District’s Master Guide Specifications for these sections. The A-E shall edit these specification sections and, if necessary, convert them into SPECSINTACT format. Jacksonville District’s Project Engineer will provide input for certain sections. This input consists of the construction contract performance period, liquidated damages, accommodations for Government personnel, Government field office requirements, contractor-furnished radios and vehicles for Government personnel, Contractor quality control staffing requirements, and annotated hard copies of specifications. The A-E will obtain all other information necessary to complete Division 1 specification sections. The A-E shall also prepare an “Order of Work” clause. The clause shall either state the required sequence of construction operations for this project or state that the order of work shall be at the discretion of the construction contractor.

5.2.3.2. Divisions 2 through 48. The A-E must edit and adapt UFGS to satisfy the project requirements and provide a complete set of construction specifications. In instances where there are no appropriate guide specifications available for use, the required specifications shall be prepared by the A-E. These specifications shall list the essential features, functions, and other factors to clearly indicate the type and quantity of items/work required. All specifications shall be prepared by listing parameters and requirements that can be met by several manufacturers. The use of trade names and proprietary items in the specifications must be specifically approved by the Jacksonville District's Project Engineer.

5.2.3.3. Construction Contractor Submittal Register. The specifications require the construction contractor to submit shop drawings, samples, manufacturer's data, certificates, test reports, and other items to the Government. The A-E shall prepare a complete listing of construction contractor submittal requirements on Eng Form 4288 using SPECSINTACT. These submittals will be classified as either "Government Approval" or "For Information Only." All non-critical submittals should be classified as "For Information Only". Those submittals that are critical to safety, construction execution, and system or facility operation should be classified as "Government Approval". The type of submittals requiring Government approval are extensions of design, critical materials, deviations, O&M manuals, or those involving equipment that must be checked for compatibility with the entire system.

### 5.3. Quantity and Cost Estimates.

5.3.1. Format. The A-E shall prepare quantity computations, cost estimates, and construction cost estimates for this project. All construction cost estimates shall be developed using M-CACES (M-CACES 2<sup>nd</sup> Generation MII) software. These estimates must conform to the requirements contained in ER 1110-1-1300, ER 1110-2-1302, and EI 01D010. A controlled materials report is not required for this task order.

5.3.2. Cost Estimate Submittal. The M-CACES cost estimates shall be submitted in 2 hard copies only, separate from the other design documents, and in electronic form CDs. Cost estimates shall be submitted only to Ms. Penny Wise, P.E., Chief, Cost Engineering Branch, Engineering Division.

5.3.3. Proposed Construction Schedule. The A-E shall prepare a proposed schedule for construction that is consistent with the project construction cost estimate. During development of this schedule, due consideration will be given to standard construction practices, durations of tasks, the sequence of construction, procurement of materials, climatic conditions, etc. The Proposed Construction Schedule should be in the form of a bar chart. Engineering Instructions 01D010 contain additional guidance regarding preparation of this schedule.

5.4. Design Analysis (DA). The A-E shall develop a DA that addresses general project parameters, functional and technical requirements, design objectives, design assumptions, and contains calculations applicable to the project's design. Guidance regarding the content and procedures for preparation of the DA are contained in ER 1110-345-700. The DA will be updated during each phase of design.



## 5.5. Quality Control.

5.5.1. Quality Control Plan. The A-E shall prepare a Quality Control Plan (QCP) which includes the following as a minimum:

5.5.1.1. Identification and discussion of all organizational and technical interfaces.

5.5.1.2. Design team members and their areas of responsibility.

5.5.1.3. Team members responsible for checking the design.

5.5.1.4. Team members responsible for checking the electronic files.

5.5.1.5. Independent Technical Review (ITR) team and an explanation of how they will perform their duties.

5.5.1.6. Project Schedule showing key milestones and review periods.

5.5.2. Independent Technical Reviews (ITR). The A-E shall perform an ITR during each phase of design development. These ITRs shall be conducted by qualified engineers (one per discipline) who are not part of the design team and documented in accordance with the requirements contained in Appendix F of ER 1110-2-1150. Formal written comments shall be generated by each member of the ITR team and annotated by designers to indicate the intended corrective action. These corrective actions shall be incorporated into the design during the same phase in which the review is conducted, prior to submission to the Government. Copies of all annotated ITR review comments and certification statements shall be furnished as an appendix to the Design Documentation Report. ITR certifications shall be certified by one of the firm's principals or authorized representative.

5.5.3. Quality Assurance. The Jacksonville District will perform a quality assurance review of all A-E work to review that proper criteria, regulations, laws, codes, principles and professional procedures have been used. This review will assess the utilization of clearly justified and valid assumptions that are in accordance with policy. It will also consider resolution of legal, technical and policy review issues. The Jacksonville District will review the work of the A-E during each phase of design and return comments using the DrChecks system.

5.6. Design Documentation Report (DDR). The A-E shall prepare a DDR and update it during each phase of design. The content and format of this report must conform to requirements contained in Appendix D of ER 1110-2-1150. ITR comments and certification statements, documentation of QC reviews, and minutes of meetings will be incorporated into the DDR as separate appendices. The DDR shall also contain copies of site visit reports and all records of discussions.

5.7. Engineering Considerations and Instructions (ECI) Report. The A-E shall prepare an Engineering Considerations and Instructions for Field Personnel Report in accordance with Appendix G of ER 1110-2-1150. The purpose of the ECI is to inform field personnel of critical

quality control issues that must be addressed during construction. The ECI should also highlight important elements of the design and provide a better understanding of the project's intended function.

5.8. Operations and Maintenance Manual. The A-E shall prepare a draft Operation, Maintenance, Repair, Replacement, and Rehabilitation Manual (OMRR&R Manual) in accordance with ER 1110-2-401. The Government will insert construction history and as-built information upon completion of construction.

5.9. Site Visits, Meetings/Conferences, and Discussions.

5.9.1. Site Visits. The A-E shall visit the project site during the Concept (30%) Design Phase. The purpose of this visit is to observe and evaluate existing field conditions and to gather supplemental site data necessary for performing the design. A follow-up site visit will be conducted during the Preliminary (60%) Design Phase. The Jacksonville District Project Engineer will be notified of these site visits well in advance of their occurrence. Reports summarizing the conditions observed, personnel contacted, and data gathered during the visits shall be prepared and included in the Design Documentation Report.

5.9.1.1. Concept (30%) Design Phase Site Visit. The following A-E representatives shall participate in this two-day site visit: Project Manager, Senior Civil Engineer (General Site and Drainage Design), Civil Engineer (Highway Design), Senior Geotechnical Engineer, and Senior Electrical Engineer.

5.9.1.2. Preliminary (60%) Design Phase Site Visit. The 60% site visit shall include coordinating the latest design with the local agencies including the Puerto Rico Department of Natural Resources, the Puerto Rico Electric Power Authority (PREPA), the Puerto Rico Aqueduct and Sewer Authority (PRASA), the Puerto Rico Department of Transportation and Public Works (DTPW), through its Highway and Transportation Authority (PRHTA). The following A-E representatives shall participate in this two-day site visit: Project Manager, Senior Civil Engineer (General Site and Drainage Design), Senior Geotechnical Engineer, and Senior Electrical Engineer.

5.9.2. Meetings/Conferences. The following is a list of meetings and conferences the A-E shall attend under this task order. The A-E representatives required to attend these conferences are defined below. The exact location, date, and time of each conference will be established by Jacksonville District's Project Engineer.

5.9.2.1. Initial Technical Coordination Meeting. The A-E will host a one day technical coordination meeting during the concept design phase.

5.9.2.2. Preliminary (60%) Design Review Conference. A one-day Preliminary (60%) Design Review Conference will be held at the Jacksonville District Office. A-E representatives shall be: Project Manager and Senior Civil Engineer.

5.9.2.3. Final (100%) Design Review Conference. A one-day Final (100%) Design Review Conference will be held at the Jacksonville District Office. A-E representatives shall be: Project Manager, Senior Civil Engineer (General Site and Drainage Design), Civil Engineer (Highway Design), Senior Geotechnical Engineer, and Senior Electrical Engineer.

The A-E shall take notes and prepare minutes for all meetings and conferences attended during design. Minutes will be prepared in typed form, signed by the A-E Project Manager, and furnished to Jacksonville District's Project Engineer within five calendar days after the meeting/conference for concurrence and distribution to attendees. Copies of all meeting/conference minutes will be included in the Design Documentation Report.

5.9.3. Discussions. The A-E shall provide a written record of all significant discussions and telephone conversations that the firm's representatives participate in, on matters relative to this project. Copies of these records shall be included in the Design Documentation Report.

5.10. Topographic Surveys. The Government has performed topographic surveys in the vicinity of this project. These surveys shall be provided to the A-E as Government furnished materials. This task order may be modified, at some later date, to have the A-E perform supplemental surveys as required.

5.11. Geotechnical Investigations. The Government has performed geotechnical subsurface investigations and laboratory testing for this project. The results of these investigations shall be provided to the A-E as Government furnished materials.

5.12. Environmental Investigations and Permits. The Government will conduct investigations to delineate wetlands and identify the habitat of endangered species. The A-E shall show these environmentally sensitive areas on the civil site drawings, but is **not** required to obtain any related permits. The Government will prepare applications and perform any agency coordination that is necessary to secure environmental and water quality certification permits.

5.13. Responsibility after Design Completion. The A-E is required to support the Jacksonville District should errors or omissions in the documents create problems in bidding or administering the contract for construction. As needed, the A-E will clarify the design intent and correct any errors or omissions in the original documents. The corrections shall be done in a timely manner at no additional cost to the Government. The A-E shall incorporate amendment changes on the original drawings and/or CAD drawings when requested to do so after the bidding process at no extra cost to the Government. In addition, the A-E shall incorporate amendment changes on the submittal registers and submit one copy in SPECSINTACT format on CD labeled with the project title, location, and construction contract number. Also, during the bidding period, the A-E is required to assist in answering all bidders inquiries pertaining to the design. If clarifications are required, the A-E will prepare the required amendment. The A-E, however, shall not receive or respond to any direct inquiries from bidders. All inquiries or responses shall be through the Jacksonville District Project Engineer.

5.14. A-E Services During Construction. No A-E services during construction, other than the responsibilities described above, are contemplated at the present time. However, this task

order may be modified at some later date to include review of construction contractor submittals, on-site inspections, review of value engineering change proposals, review of contractor substitutions, preparation of design modifications, or other similar services during construction.

## 6. SUBMITTALS AND PERFORMANCE SCHEDULE.

6.1. Distribution of Submittals. Deliverables for each phase of design shall include a complete set of MicroStation<sup>TM</sup> (\*.DGN) files and hard copies of all drawings. Narrative and text documents, specifications, design analysis and cost estimates will be provided in Government approved electronic formats, with hard copies. Electronic files for cost estimates and specifications should be furnished on CDs. The distribution list and number of copies of each document are shown in Exhibit B.

6.2. Government Review and Comment Resolution. The Government will review all submittals identified under this task order. Formal comments generated during the review will be provided to the A-E via the DrChecks automated review system, and the A-E will respond to the comments via DrChecks. Both parties will discuss these comments, if necessary, and attempt to resolve any unsettled issues that may arise from the review. The time frame for Government review and comment resolution varies however; this process is typically completed within 30 calendar days.

6.3. Performance Periods and Submission Schedules. The performance periods and submission schedules for each phase of design are indicated below. Time for reproduction and mailing is inclusive to the stated durations. The A-E may choose to perform work, at its own risk, during the Government review and comment resolution period, however, comments resulting from that review must be incorporated into the design prior to the next submittal. In the event a subsequent design phase is not authorized, the A-E shall incorporate all available review comments into the design to complete the current phase.

### 6.4. Concept (30%) Design Phase Submittals.

6.4.1. Quality Control Plan. The A-E shall submit a Quality Control Plan, for review and approval, 15 calendar days after issuance of Notice to Proceed.

6.4.2. Concept (30%) Design Submittal. The A-E shall submit the Concept (30%) Design, for review and approval, 45 calendar days after the issuance of the notice to proceed. This submittal will include drawings, design analysis, a design documentation report, quantity and cost estimates, a bid schedule, an M-CACES construction cost estimate, and other supporting documents.

6.5. Preliminary (60%) Design Phase Submittal. The A-E shall submit the Preliminary (60%) Design, for review and approval, 45 calendar days after receipt of Concept (30%) Design review comments. This submittal will include drawings, outline specifications, design analysis, a design documentation report, quantity and cost estimates, a bid schedule, an M-CACES construction cost estimate, a proposed construction schedule, site plans identifying all right-of-

ways (for construction and perpetual operations), a complete order of work clause describing the required sequence of construction operations, and other supporting documents.

6.6. Final (100%) Design Phase Submittals.

6.6.1. Final (100%) Design Submittal. The A-E shall submit the Final (100%) Design, for review and approval, 45 calendar days after receipt of Preliminary (60%) Design review comments. This submittal will include detailed working drawings and specifications necessary for the effective coordination and efficient execution of the construction work. The Final (100%) Design shall also include a construction contractor submittal register, design analysis, a design documentation report, quantity and cost estimates, a bid schedule, an M-CACES construction cost estimate, a proposed construction schedule, site plans identifying all right-of-ways (for construction and perpetual operations), and other supporting documents.

6.6.2. Corrected Final Design Submittal. The A-E shall submit the Corrected Final Design, for review and approval, 28 calendar days after receipt of Final (100%) Design review comments. This submittal will include the same items that are required for the Final (100%) Design submittal.

6.7. Amended Plans And Specifications. The A-E shall provide revised plans and specifications, which include all amendment changes, 14 calendar days after bid opening.

6.8. Request for Payment. The A-E shall include a progress report along with the Payment Estimate – Contract Performance, ENG Form 93 as justification for the amount of payment requested. The progress report shall include in narrative form a summary of activities, estimated percentage complete, project schedule evaluation, and problems and recommended solutions.

7. AUTHORIZED CHANGES. The A-E shall accept instructions only from the Contracting Officer or his/her duly appointed representative. However, coordination of routine technical matters with U.S. Army Corps of Engineers personnel will be accomplished through the Jacksonville District Project Engineer, Tony Tiger, CESAJ-EN-DL. Direct requests from other agencies should be forwarded to the Project Engineer for consideration.

8. EXHIBITS.

A: Technical Instructions (not included)

B: Review Distribution List (not included)



## APPENDIX X

### Request for Price Proposal Instructions

A RFPP to an A-E firm will include the SOW, proposal instructions, preproposal conference date (if needed), proposal due date, name(s) and telephone number(s) of the Government negotiator(s), and the contract terms and conditions. An RFPP will direct the firm to submit the following information, as appropriate, for the contract action. The items in *italics* are not required for ID contract task orders.

1. The name(s) and title(s) of the person(s) authorized to negotiate and sign a contract or task order.

2. The labor rates and supporting payroll data for all position classifications anticipated to be used under the contract by the prime firm and any subcontractors. Include the basis for any escalation in labor rates.

3. Financial data and the methodology used to calculate the proposed overhead rates for the prime firm and subcontractors. Identify costs not allowed by FAR 31.2.

4. The name and address of any Government audit agency that has conducted an audit of the firm within the last year.

5. Submission of cost or pricing data for proposals over \$700,000 as required by FAR 15.403-4(a)(1), 15.403-5(b)(1) and Table 15-2 of 15.408. For task orders, only cost or pricing data that were not included in negotiation of the basic IDC need be submitted.

6. Certificate of Current Cost or Pricing Data if the negotiated price exceeds \$700,000 (FAR 15.406-2). A certificate is not required for a task order if no additional cost or pricing data (item 5 above) is required. The certificate should not be executed and submitted until negotiations are completed.

7. Executed Representations, Certifications and Other Statements of Offeror. (Note: Contractors must complete the most common representations and certifications through the Online Representations and Certifications Application website listed in Appendix F.)

8. Detailed price breakdown with tasks, position classifications, labor-hours, costs and profit for all phases and sub-phases of work. Indicate which work will be performed by the prime firm and each subcontractor. Identify factual and judgmental items. Discuss any assumptions made in developing the proposal. Include price quotes for any commercial supplies and services.

9. Subcontracting plan for the utilization of SB and SDB if the prime firm is a large business and the contract is expected to exceed \$650,000 (FAR 19.702(a)(1) and 19.704).

10. Acknowledgment that the firm, or any subsidiaries or affiliates, may not be awarded a construction contract for the project to be designed (FAR 36.209 and 36.606(c)). The firm should also be advised not to release any information to prospective bidders for the construction contract (FAR 9.505(b)).

11. A letter from a banker, creditor, or other appropriate financial institution confirming the firm's business and financial reputation, integrity and ability to execute the contract.

12. Design quality control plan.

13. Verification of registration in the Central Contractor Registration system.



## APPENDIX Y

### Independent Government Estimates

1. General. An IGE for A-E services will be developed from a detailed analysis of the SOW, assuming reasonable economy and efficiency, and modern and effective methods. An IGE shall not be based on a percentage of construction cost, arbitrary ceilings, the availability of funds, or any cost or pricing information provided by the A-E firm. The intent of an IGE is to determine a price for the required work which is fair and reasonable to the Government (Comptroller General decision Dworsky Associates, B-248216, June 18, 1992, 92-1 CPD ¶ 533).
2. Preparation. An IGE will be prepared by engineers, architects, and/or other appropriate personnel having expertise (education, training and professional experience) in the type of work being contracted. Where available, cost and pricing specialists or auditors should be consulted for information on overhead, labor rates, and other pertinent unit costs and prices. An IGE will be marked "FOR OFFICIAL USE ONLY" and protected accordingly.
3. Approval. An IGE will be approved by a supervisor having expertise in the type of work being contracted. The level of supervisory approval will be appropriate for the complexity and dollar value of the contract action. An IGE will be approved prior to opening the related A-E price proposal. Internal management controls will be established to ensure that each IGE is prepared independently of the A-E proposal.
4. Revision. An IGE should be revised whenever there is a significant change in the SOW or a significant error or omission is discovered in the IGE. A revised IGE should normally be approved by the same person who approved the original IGE. Revision of an IGE is not required to justify accepting a proposal greater than the IGE if the significant differences are adequately explained in the PNM.
5. Statutory Limitation. The 6 percent statutory limitation requirement for the "production and delivery of designs, plans, drawings and specifications" (FAR 15.404-4(c)(4)(i)(B) and 36.606(a), and UAI/EFARS 36.606-70(e)) will be carefully considered when preparing an IGE. An IGE will be clearly organized to show the elements of estimated price, including associated overhead and profit, subject to the 6 percent limitation, and the total of these elements of price expressed as a percentage of the estimated construction cost (excluding contingencies, and supervision and administration). For additional work or redesigned work, the estimated construction cost will be increased by the value of the additional or redesigned work (DFARS 236.606-70(b)).
6. Items Not Included in the Statutory Limitation. The following are examples of services that, are not considered an integral part of the preparation of designs, plans, drawings, and specifications, and may be excluded from the A-E fee when determining compliance with the statute.
  - a. Initial site visits.

- b. Field, topographic, property, boundary, utility, and right-of-way surveys.
- c. Subsurface explorations and borings; soils and materials testing and resultant reports.
- d. Feasibility, functional, and economic studies.
- e. Flow gauging, model testing.
- f. Preparation or verification of as-built drawings.
- g. Preparation of general and development criteria.
- h. Preparation of general and feature design memoranda.
- i. The services of consultants, where not specifically applied to the preparation of designs, plans, drawings or specifications.
- j. Preparation of environmental impact assessments, statements, and supporting data.
- k. Construction phase services.
- l. Models, renderings, or photographs.
- m. Reproduction of designs for review purposes.
- n. Travel and per diem allowances in connection with services that are not directly related to the preparation of designs, plans, drawings, or specifications.

7. Labor and Overhead Rates.

a. FFP Contracts. An IGE for a FFP contract will use labor and overhead rates representative of the class of A-E firms that have been selected as most highly qualified to perform the required work (UAI/EFARS 36.605(a)). Class includes such factors as firm size, market area, specialization, and capabilities. For example, for a major military command headquarters, the IGE would likely use labor and overhead rates representative of national, "top 100" firms. Conversely, for a standard vehicle maintenance building at a typical Army installation, the IGE would likely use rates of local, small-to-medium size firms. Appendix Z lists sources of information on labor and overhead costs in the A-E industry. Rates for the Government or the firm under negotiation will not be used since the objective of an IGE is to independently estimate a fair price for a competitive and efficient private firm, not the Government nor the firm under negotiation, to perform the required A-E services. The estimated labor rates for work of extended duration or for later phases of work will be adjusted for escalation. Arbitrary limits on the overhead and labor rates used in an IGE are prohibited.

b. IDCs. An IGE for an IDC will consist of an independent analysis of fair and reasonable rates for labor, overhead and other costs. An IGE for a task order (or modification to a task

order) will use the contract rates for labor, overhead, travel, supplies, services, and possibly profit (if the same profit rate is applicable to all orders) in effect at the time the order (or modification to a task order) is issued.

8. Breakdown of Costs. An IGE will be organized to correspond to each phase or sub-phase of work in the SOW. The estimated price for each phase or sub-phase will be itemized to show the direct labor costs, overhead costs, travel costs, other direct costs, and profit.

a. Direct Labor Costs. The labor-hours needed for each position classification (types of disciplines at certain levels of expertise) are determined by analysis of the required tasks and products in the SOW. Reasonable effort must also be included for project management, quality control and assurance, clerical support, and coordination between disciplines. If the SCA applies to the contract, then the labor rates and benefits for service employees must be at least equal to those in the appropriate DOL wage determination.

b. Overhead. Overhead costs (also called indirect costs) include overhead on direct labor and general and administrative overhead. FAR 31 provides detailed guidance on overhead costs. An IGE will normally be prepared using a single overhead factor which combines overhead on direct labor with general and administrative overhead, expressed as a percentage of the total direct labor costs. This method is representative of the accounting practices of most A-E firms and is compatible with the market surveys in Appendix Z. Other overhead structures may be used in an IGE if representative of the class of firms selected for the work. An IGE may be prepared using separate overhead rates for the prime contractor and primary subcontractors if considered reasonable and typical for the type of work.

c. Travel. Travel requirements are determined from analysis of the SOW for tasks such as field investigation and meetings, based on the location of the firm selected for negotiation. Typical travel costs include rental car, company car mileage, airfare, parking fees, and per diem expenses. The labor of personnel when traveling will be included in the direct labor portion of an IGE. The unit cost and quantity of each travel item will be identified. Per diem and airfare costs are limited by FAR 31.205-46. The prevailing privately owned vehicle mileage reimbursement rate for Government personnel will be used to estimate car mileage costs.

d. Other Direct Costs. Include all other necessary direct costs not included in direct labor and travel, and not ordinarily included in the overhead of an A-E firm. Commercial quotes from suppliers are usually available for these items. Typical other direct costs include: reproduction of documents for Government review, supplies, photographs, renderings, models, color boards, long distance communications, laboratory tests, computer use, and postage.

e. Profit. Profit rates will be determined in accordance with UAI/EFARS 15.404-73-101, alternate structured approach for architect-engineer contracts shown below. The profit rate will be applied to all costs (direct labor, overhead on direct labor, general and administrative overhead, travel, reproduction and other direct costs) to estimate the dollar amount of profit. An IGE will not be structured with redundant levels of profit (no profit on profit). Hence, if an IGE is structured with subcontractors, the estimated costs (without profit) for the prime contractor and the subcontractors will be added to give the total cost base for applying the profit rate. However,

it is not necessary to deduct reasonable profit embedded in the prices of commercial supplies and services, such as travel, lab tests, printing and express mail. Further, the EFARS/UAI alternate structured approach to the weighted guidelines method (WGM) for A-E contracts yields profits that are substantially greater than the WGM in DFARS 215.404-71. Hence, estimating additional profit for layering of subcontractors is not warranted.

Alternate structured approach for architect-engineer contracts:

(1) The pre-negotiation profit objective for a firm-fixed-price architect-engineer (including surveying and mapping) contract, contract modification, or task order will be determined as described below. The profit objective for all other types of A-E contracts will be determined in accordance with DFARS 215.404-71.

Profit Objective = Cost x (Technical Complexity Factor + Length Factor + Support of Socioeconomic Program Factor)

Where:

(a) Cost is the total estimated costs, including general and administrative costs, of the prime contractor and any subcontractors, exclusive of any profit. However, normal profit need not be deducted from the prices for commercial supplies and services (such as airfares, reproduction, lab tests, express mail and materials) in developing the cost base.

(b) Technical complexity factor will vary from 0.05 for low complexity (design of simple road repaving or routine boundary survey verification) to 0.10 for high complexity (design of nuclear chemistry laboratory or the design of the remediation of a very unusual and complex hazardous waste site). Consider the nature of the work, degree of management involvement required, schedule constraints, amount of Government assistance, and availability of design criteria.

(c) Duration factor is .02 for a contract action of 1 month or less, and increases proportionately to 0.04 for a contract action of 21 months or longer. Consider the time necessary to complete the substantive portion of work, including option periods.

(d) Support of socioeconomic programs factor will vary from 0.0 for a prime contractor (including a small business prime contractor) who plans no subcontracting, to 0.02 for a contractor who demonstrates exceptional program support. Consider the contractor's past record as well as the instant contract with regard to mentoring and subcontracting with small businesses, small disadvantaged businesses, and historically black colleges and universities and minority institutions.

(2) When the facilities capital cost of money is proposed by the contractor and verified, reduce the profit objective as described in DFARS 215.404-73(b)(2).

## APPENDIX Z

### A-E Cost Information

The following sources of cost information may be used in preparing an IGE for A-E services and evaluating A-E price proposals.

Publication: A/E Financial Performance Survey

Contents: Overhead rates (overall and elements) for various sizes, types and locations of firms. Also, data on profit, staffing, labor costs, and automation use and costs.

Publisher: PSMJ Resources, Inc., Ten Midland Avenue, Newton, MA 02458; Phone: 800-537-7765.

Note: This firm also publishes: A/E Management Salary Survey and A/E Fees and Pricing Survey.

Publication: Income & Salary Survey

Contents: Detailed data on salaries for engineers for various disciplines, education levels, lengths of experience, levels of responsibility, and locations.

Publisher: National Society of Professional Engineers, 1420 King Street, Alexandria, VA 22314; Phone: 703-684-2800; <http://www.nspe.org>.

Publication: Compensation at US Architecture Firms

Contents: Average salaries for architects for various levels of responsibility, sizes of firms, and regions. Also includes similar data for landscape architects, interior designers, drafters and CADD operators.

Publisher: American Institute of Architects, 1735 New York Avenue, NW, Washington, D.C. 20006, Phone: 800-AIA-3837; <http://www.aia.org>.

Publication: Engineers Salary Survey

Contents: Detailed data on salaries for engineers for various disciplines, education levels, lengths of experience, levels of responsibility, and locations.

Publisher: D. Dietrich Associates, Inc., 61 North Forge Manor Drive, Phoenixville, PA 19640; Phone: 610-935-1563.

Note: This firm also publishes other similar surveys on engineering executives, architectural positions, drafters and designers, construction services positions, scientists, and laboratory technicians.

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Publication: Compensation and Benefits in Consulting Engineering Firms

Contents: Salary and benefit data on 41 engineering positions, such as managers, drafters, technicians, and surveyors.

Publisher: Abbott Langer & Associates, 548 First Street, Crete, IL 60417; Phone: 708-672-4200; <http://www.abbott-langer.com>.

Publication: Financial Performance Survey of A/E/P and Environmental Consulting Firms

Contents: Over 30 different major financial performance statistics on architectural, engineering and environmental firms.

Publisher: Zweig White, P.O. Box 8325, One Apple Hill Drive, Natick, MA 01760-2085, Phone: 1-800-466-6275; <http://www.zweigwhite.com/>.

Publication: MAPPS Non-Cash Benefits and Salary Survey

Contents: Salary and benefit information for photogrammetric mapping firms.

Publisher: Management Association of Private Photogrammetric Surveyors, 1760 Reston Parkway, Suite 515, Reston, VA 20190; Phone: 703-787-6996.

## APPENDIX AA

### A-E Price Proposal Analysis

1. General. Technical, price and cost analysis will generally be performed on every A-E price proposal. The extent of the analysis and documentation depends on the dollar value and complexity of the proposal.

2. Technical Analysis (FAR 15.404-1(e)). Technical analysis is the evaluation of the judgmental elements of a proposal and the approach for accomplishing the work. Technical analysis involves comparing the proposal with the IGE, and:

a. Evaluating the general approach for performing the work and any assumptions included in the proposal. Ensure that the proposal includes appropriate modern and cost-effective design methods (FAR 36.606(d)) and is based on reasonable efficiency and economy (FAR 15.404-1(e)).

b. Ensuring that all requirements in the SOW are addressed, and no unnecessary items are included.

c. Evaluating the design quality control plan, if required, to ensure that the firm is using procedures, practices and tools that will produce quality engineering and design services and products in accordance with ER 1110-1-12.

d. Ensuring that all Government-provided information and materials are considered in the proposal.

e. Evaluating the need for the proposed position classifications (types of disciplines with certain levels of expertise) and their mixture. Consider the relationship among management, professional, technician and drafting hours.

f. Evaluating the number of labor hours for each position classification for various tasks, products and/or phases of work.

g. Evaluating proposed subcontracting and how it interrelates with work done by the prime contractor. Ensure that all subcontractors have been approved by the selection board (FAR 36.606(e)).

h. Evaluating the need for and suitability of proposed special equipment and the hours of special equipment usage compared to the labor hours for using the equipment.

i. Reviewing the purpose and number of proposed trips, personnel traveling, origin and destination, and means.

j. Reviewing the type and amount of communications, postage, reproduction, materials and other direct costs.

3. Price Analysis (FAR 15.404-1(b)). Price analysis is the evaluation of the proposed total price, and the price of major phases or elements of work, without evaluating individual cost elements or profit. Price analysis includes, as appropriate, comparing the proposed price(s) to other similar contract actions, the IGE, and rough unit price yardsticks, such as dollars per drawing for designs or dollars per acre for surveying and mapping.

4. Cost Analysis (FAR 15.404-1(c)). Cost analysis is the review and evaluation of the separate cost elements and proposed profit to determine what the price of the contract should be, "assuming reasonable efficiency and economy." Also, the analysis "shall ensure that the effects of inefficient or uneconomical past practices are not projected into the future." Cost analysis includes (items a -l are appropriate for audit review):

a. Verifying labor rates, employee benefits and escalation factors, and evaluating their reasonableness.

b. Verifying the direct labor base.

c. Evaluating the reasonableness of the method for computing overhead rates. When a significant amount of the work is to be performed away from a firm's office, such as resident on-site construction support, overhead rates applied to that portion of the work should be evaluated separately.

d. Reviewing for any duplication between direct costs and overhead costs for items such as principals and managers, administrative personnel, travel, communications, reproduction, computer services, equipment, materials and supplies.

e. Evaluating the reasonableness of travel costs and other direct costs such as reproduction, computer services, laboratory tests, materials and supplies, using price quotes, catalog prices, other recent contracts, and other available data.

f. Determining the allowability of direct costs and overhead costs in accordance with FAR 31.205.

g. Determining the allocability of costs to the contract action for other offices of the firm.

h. Evaluating the rate for facilities capital cost of money.

i. Evaluating the percentage of Government business compared to total business, and the impact of the contract action on overhead rates.

j. Verifying conformance with Cost Accounting Standards (FAR 30) or generally accepted accounting practices.

k. Identifying and evaluating the necessity and reasonableness of any contingencies (FAR 15.402(c) and 15.404-1(c)(2)(i)(A))



- l. Verifying mathematical accuracy.
- m. Verifying that contract rates for the prime and subcontractors are being used for a task order under an IDC.
- n. Verifying that labor rates for service employees (FAR 22.10) are at least equal to the WD by the DOL under the SCA, if the SCA is applicable to the contract.
- o. Comparing costs with other similar contracts and the IGE.
- p. Comparing the proposed profit amount with the profit amount determined by the Alternate Structured Approach to the Weighted Guidelines Method (UAI/EFARS 15.404-73-101).
- q. Determining that all necessary cost or pricing data has been submitted by the firm.
- r. Evaluating the extension of the allowable unit costs (such as labor rates, overhead rates, travel rates, printing costs) to total prices, considering the results of the technical analysis of the judgmental elements (such as labor hours, trips, and number of drawings).
- s. Evaluating compliance with the 6 percent statutory limitation (FAR 15.404-4(c)(4)(i)(B) and 36.606(a), DFARS 236.606-70, and UIA/EFARS 36.606-70).



APPENDIX BB

Instructions for Preparing DD FORM 2631 (ACASS)

Instructions are provided below for items that are not self-explanatory.

- Item 3a. PHASE OF COMPLETION. Check the "Interim" box for any performance evaluation made prior to completion of the design or engineering services phase, or construction phase, and enter the percent of completion of the phase. The usual instances for interim evaluations are: (1) when performance is marginal or unsatisfactory; (2) annual progress evaluations when the performance period exceeds 18 months; or (3) a project is deferred for more than 3 months and substantial work has been completed. Check "Final" if the evaluation is made at the completion of a project phase (i.e., design or engineering services phase, or construction phase).
- Item 3b. COMPLETION. Check "Design" if the A-E services are for design of construction. Check "Engineering Services" if the A-E services are not directly associated with the design of a construction project. Check "Construction" for the evaluation of A-E services during construction.
- Item 5. DELIVERY ORDER NUMBER(S). Only applicable for IDC. (The correct term on the form should be "task order" which applies to services, not "delivery order" which applies to supplies.)
- Item 6. NAME AND ADDRESS OF A-E CONTRACTOR. Show primary performing office, which may not be the office which signed the contract.
- Item 7b. DESCRIPTION OF PROJECT. For HTRW projects, indicate the phase in which the A-E firm assumed responsibility for the project.
- Item 8. NAME, ADDRESS AND PHONE NUMBER OF OFFICE RESPONSIBLE FOR. An example for Item 8a is shown below:
- Engineering Division  
Savannah District  
Savannah, GA  
(912) 944-5465
- Item 9a. TYPE OF WORK PERFORMED BY A-E (DESIGN, STUDY, ETC.). For HTRW projects, indicate if performance type specifications were required.

- Item 9d. PROFESSIONAL SERVICES CONTRACT. The “Initial Fee” should include the basic contract or task order amount plus any options awarded before the time of the evaluation. Do not include contract or task order modifications in the initial fee amount. “Contract or Task Order Modifications” should include all additional work not negotiated at the time of the contract or task order award. The “Total Fee” is the sum of the initial fee and the modifications.
- Items 9f,g. NEGOTIATED/ACTUAL A-E CONTRACT COMPLETION DATE (OR NUMBER OF DAYS). Report either negotiated/actual completion dates or number of days, not both. Include authorized contract extensions. The "number of days" is the total period negotiated for performance of the work and does not include Government review time, other design stop periods, or other Government-caused delays.
- Item 11. A-E LIABILITY. Indicate status of A-E liability at time of completing the form. Check "None" if there are no known deficiencies, or if there are and the KO has decided not to take action. Check “Undetermined” if there are deficiencies and a determination on liability has not been made. Discuss in Item 20. Check "Pending" if the contracting officer has determined that action will be taken to recover damages from the A-E firm and enter the amount of damages. Check "Settlement" if a liability case(s) against the A-E has been settled and enter the amount recovered. “Undetermined”, "Pending", and "Settlement" may be concurrently marked.
- Item 12. OVERALL RATING. See guidance in Chapter 6, paragraph 6.4.e of this pamphlet. The overall rating shall be determined through an assessment of ratings of performance elements in Items 16 through 19, and any other significant factors not covered by the performance elements. Explain in Item 20 which disciplines and attributes are significant if not readily apparent from the nature of the work.
- Item 14a. NAME, TITLE AND OFFICE OF RATING OFFICIAL. For the evaluation at the completion of design or engineering services, indicate the COR. For the evaluation at the completion of construction phase services, indicate the Area Engineer or Resident Engineer. Give the name of the office, not just the office symbol.
- Item 15. NAME, TITLE AND OFFICE OF REVIEWING OFFICIAL. The Director/Chief, or Assistant Director/Chief, of Engineering.

Item 19. CONSTRUCTION PHASE. The AE or RE is responsible for addressing these attributes. Any aspect of A-E performance not adequately described by the ratings given in the matrix shall be described in Item 20. Examples of items that might require special comment are:

- Field visit support. Did the A-E firm provide the proper individual in a timely manner? Were written reports submitted in a timely manner? Did solutions to problems appear to be cost effective? Did the A-E firm provide information which contributed to the Government's defense against a claim or identification of a construction contractor deficiency?

- Changes. Did the A-E firm provide designs to correct errors or omissions and/or revise criteria in a timely manner? Were the cost estimates useful/realistic in support of negotiations?

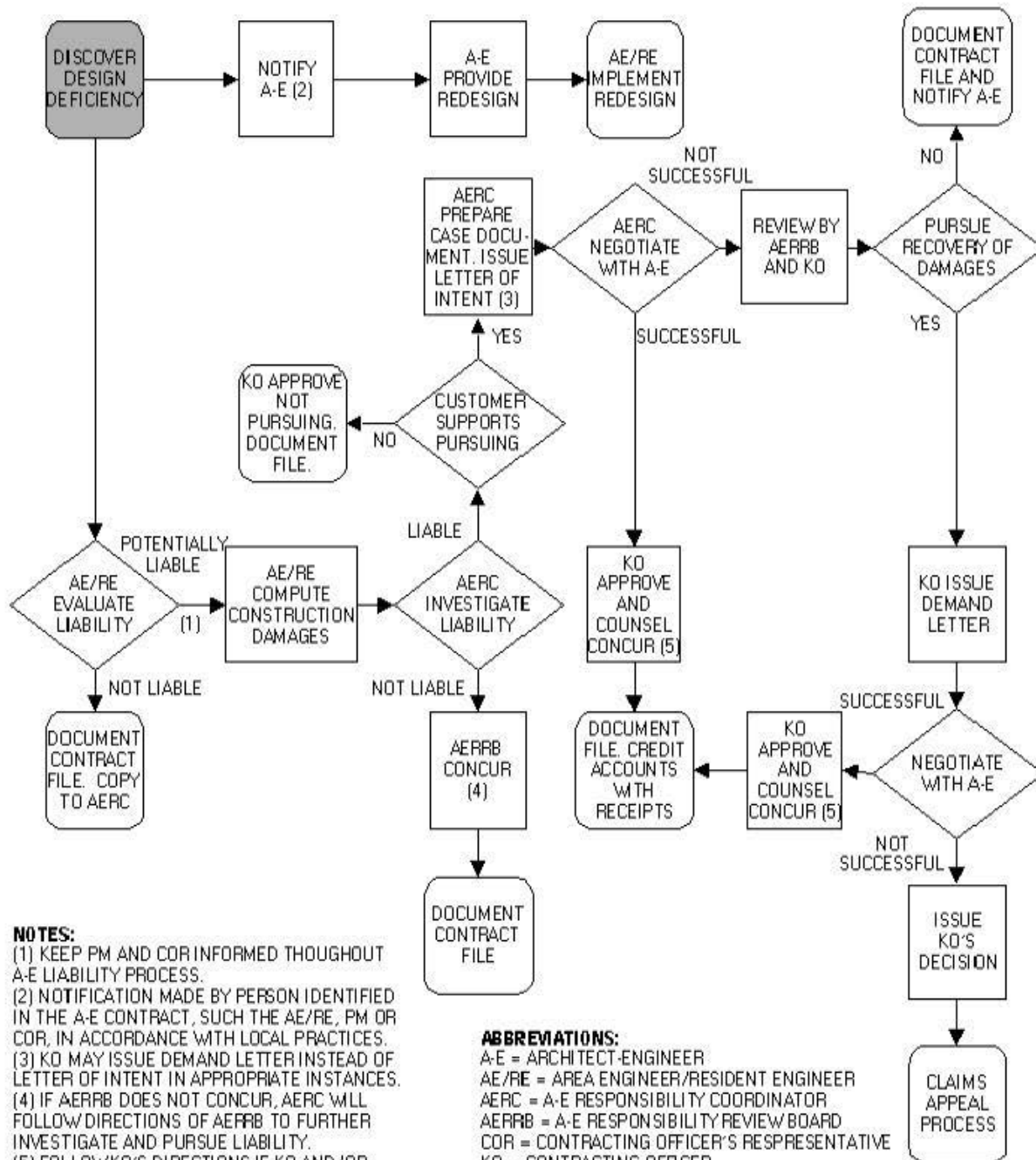
- As-Built Drawings and Operation and Maintenance Manuals. Comment on the adequacy of the A-E firm's preparation or review of such documents, if applicable.

Item 20. REMARKS. The comments should be tailored to be of maximum usefulness to selection boards considering this A-E firm for future work, and to the administrators of contracts with this firm in the future. If the effectiveness of the firm's project management is not adequately covered by Items 17 and 19, add comments as needed. Provide substantive comments to support a "Marginal" or "Unsatisfactory" evaluation and include any comments by the A-E firm in response to the proposed evaluation. Explain the basis for a "No" or "Conditionally" recommendation for future contracts in Item 13.



APPENDIX CC

A-E Liability Action Flowchart







## APPENDIX DD

### Determination of A-E Liability Damages

1. General. Detailed and accurate cost records are very important when seeking recovery of A-E liability damages. Damage computations must show the source of the cost data and be signed and dated by the preparer. Government labor costs must be determined in accordance with normal accounting practices. The computation of damages should be amended as required. Damages will be categorized as construction costs, ancillary costs, and investigation and recovery costs, as discussed below.

2. Construction Costs.

a. Identifiable costs in a construction change (usually executed by a contract modification, but may be a new contract, supplemental agreement, purchase order or other type instrument) that would not have been included in the construction contract price had the design been correct. Such costs include: tear out and demolition, scrap material, restocking charges, premium for expedited delivery, reinstallation, difference in new and salvage value of unused or removed material or equipment, delay and impact, and extended overhead.

b. Do not include construction costs of items or work that should have been included in the design but were omitted or were improper due to the A-E firm's error or omission. The Government is entitled to only the extra costs associated with including such omitted or improper items or work in the construction, and not the actual construction costs of the items or work themselves, unless it can be shown that the costs are more than they would have been had the items or work been included in the original construction plans and/or specifications.

3. Ancillary Costs. Include costs such as:

a. Construction S&A costs associated with the additional construction costs, in the usual percentage of construction costs.

b. Administrative costs to prepare and award a purchase order or contract if necessary for the remedial construction.

c. In-house costs for the corrective design.

d. Cost of re-procurement of A-E services, including the associated administrative costs.

e. Diminished value. In some instances it is impracticable to remedy an A-E firm's error or deficiency. If so, the damage is the difference in value of the facility as it exists and what its value would have been had the error or deficiency not occurred.

f. Loss of use or function.

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4. Investigation and Recovery Costs. Technical and administrative costs to investigate, document, and review liability, and recover the damages, including actions by the AERC, technical specialists, expert witnesses and counsel (to the extent that the costs are not included in overhead).

## APPENDIX EE

### A-E Liability Collection, Settlement, and Reports

#### 1. Collection of Claims.

a. The provisions of FAR 32.6, Contract Debts, and its supplements, apply to claims by the Government against A-E firms. These regulations arise from the Debt Collection Act of 1982.

b. A claim for payment of damages made in a demand letter to an A-E firm is not subject to the provisions of FAR 32.6 until a COD has been issued. When a COD is issued, the amount of the claim becomes a "receivable" and the handling of it shall be in accordance with the acquisition regulations. A copy of the COD shall be furnished to the local finance and accounting officer (FAO), with the following information:

- (1) A-E firm's billing address, if different from the mailing address;
- (2) A-E firm's employer identification number, if a US Army contractor;
- (3) Social security number of A-E firm's contracting officer;
- (4) Contract number; and,
- (5) Government KO's name and organization.

c. The A-E firm shall be notified in the COD that it may submit a request for deferment of collection (FAR 32.610(b)(3)). This is pertinent if the A-E firm has not been paid in full for the contract under which the liability action is being taken or has other active contracts, as the KO has authority to set off the claim against payments due the A-E firm. Requests for deferment by the A-E firm and the granting of deferments by the KO are covered in FAR 32.613.

d. The FAO shall be kept informed of the status of the resolution of a liability case and provided copies on all internal and external correspondence concerning the status of the claim. The AERC shall support and coordinate the actions of the KO and FAO to comply with the regulations cited above.

#### 2. Settlement Options.

a. Settlements can be made by cash payment, installment payments, or in-kind A-E services in some instances. The in-kind A-E services should be within the scope of the contract (such as a user-requested change order) under which the liability action has been taken, but obviously cannot be for corrective design. The value of settlements made by other than cash payments shall be estimated and be reported as the settlement amount in reports.

b. Installment settlements shall be reported as follows:

(1) The case shall be reported as settled upon receipt of the first payment.

(2) Subsequent payments will increase the amount of recoveries reported, but not the number of cases reported as settled.

(3) An ENG Form 4858A-R is required for each quarterly report until payment has been received in full.

(4) If the firm fails to complete payment, the case shall be referred to Counsel for collection.

3. Disposition of Monies Recovered.

a. The AERC shall provide written guidance to the FAO for disposition of monies collected in liability case settlements. A copy of the disposition document shall be placed in the A-E contract file.

b. In general, the monies recovered in A-E liability actions are credited to the appropriation or account that bore the costs. This applies to project accounts, flat rate S&A accounts, and general and administrative overhead accounts. The amounts credited to these accounts cannot exceed the charges against them for the liability case.

c. In the cases where the costs associated with a liability case were borne by a customer's operations and maintenance account, the funds recovered shall be returned to the client without regard to whether the return is made in the same year as the costs were incurred.

d. When the monies received cannot be credited to an account because the appropriation has expired, they shall be returned to the Treasury of the United States as miscellaneous receipts.

4. A-E Responsibility Management Program Reports. (AERMP)

ENG Form 4858-R, Annual A-E Responsibility Management Program Report (Figure EE-1), and ENG Form 4858A-R, Quarterly A-E Liability Case Report (Figure EE-2) are used for AERMP reporting. The instructions are shown on the reverse of each form. These forms are locally reproducible. Also, the forms can be downloaded via the Internet as follows:

a. Access USACE home page (<http://www.usace.army.mil>)

b. Click on "Find Corps Publications"

c. Click on "Publications Library"

d. Click on "Engineer Forms"

- e. Click on “Versions 1.1, 2.22, 2.23, FormFlow99 and PDF format”
- f. Scroll to “Eng 4858-r” or “Eng 4858a-r”
- g. Click on “v 2.22” to open form in FormFlow software

1. COMMAND:		ANNUAL A-E RESPONSIBILITY MANAGEMENT PROGRAM REPORT (EP 715-1-7) RCS: CEMP-E-32 (SEE REVERSE FOR INSTRUCTIONS)		2. FISCAL YEAR:
3. LIABILITY CASES CARRIED OVER FROM LAST FISCAL YEAR		a. NUMBER OF CASES		
		b. TOTAL DAMAGES, \$		
4. LIABILITY CASES INITIATED IN THIS FISCAL YEAR		a. NUMBER OF CASES		
		b. TOTAL DAMAGES, \$		
5. LIABILITY CASES DROPPED IN THIS FISCAL YEAR		a. NUMBER OF CASES		
		b. INVESTIGATION & RECOVERY COSTS, \$		
		c. TOTAL DAMAGES, \$		
6. LIABILITY CASES SETTLED IN THIS FISCAL YEAR		a. NUMBER OF CASES		
		b. INVESTIGATION & RECOVERY COSTS, \$		
		c. TOTAL DAMAGES, \$		
		d. SETTLEMENT, \$		
7. LIABILITY CASES CARRIED FORWARD TO NEXT FISCAL YEAR		a. NUMBER OF CASES		
		b. TOTAL DAMAGES, \$		
8. EFFICIENCY RATIO		(5b + 6b)/(5c-5b + 6c-6b)		
9. RECOVERY RATIO		6d/(5c + 6c)		
10. REMARKS:				
11. PREPARED BY (AERC):		12. OFFICE SYMBOL:		13. TELEPHONE NO.:

ENG FORM 4858-R, MAY 99

EDITION OF FEB 97 IS OBSOLETE.

(Proponent: CEMP-EC)

FIGURE EE-1. ENG FORM 4858-R, ANNUAL AERMP REPORT

## INSTRUCTIONS FOR ENG FORM 4858-R

General: This form is used to consolidate information from individual ENG Forms 4858A-R on A-E liability cases in an operating command. This report is submitted annually from operating commands to their MSCs, from MSCs to HQUSACE, ATTN: CECW-CE. Instructions are provided below for items that are not self-explanatory. Attach additional sheets for remarks if needed.

1. Enter the three character office symbol; e.g., NWO for Omaha District.

5b./6b. Investigation and recovery costs are for cumulative total for the cases, not just for the year. Total damages include the investigation and recovery costs.

*(Reverse of ENG FORM 4858-R)*

1. COMMAND:		<b>QUARTERLY A-E LIABILITY CASE REPORT</b>				3. FISCAL YEAR:	
2. CASE NUMBER:		(EP 715-1-7) RCS: CEMP-E-32 (SEE REVERSE FOR INSTRUCTIONS)				4. QUARTER:	
5. A-E NAME AND ADDRESS:			6. PROJECT TITLE AND LOCATION:		7. A-E CONTRACT NUMBER:		
					8. CONSTRUCTION CONTRACT NUMBER:		
9. DESCRIPTION OF DEFICIENCIES:							
DISCIPLINE(S) INVOLVED: CIVIL ___ ARCH. ___ STRUCT. ___ HVAC ___ PLUMBING ___ FIRE PROTECT. ___ ELECT. ___ OTHER ___							
10. A-E POSITION/REBUTTAL:							
11. A-E NOTIFICATION:		12. LETTER OF INTENT:	13. DEMAND LETTER:	14. CONTRACTING OFFICER DECISION:	16. DATE OF APPEAL:	17. FINAL ACTION:	
					18. DOCKET NO.:	___ DROPPED	
					DATE:	___ SETTLED	
18. CONSTRUCTION DAMAGES, \$:		19. ANCILLARY COSTS, \$:	20. INVESTIGATION & RECOVERY COSTS, \$:	21. TOTAL DAMAGES (18 + 19 + 20), \$:	22. SETTLEMENT AMOUNT, \$:	23. EFFICIENCY RATIO, 20/(18 + 19):	
						24. RECOVERY RATIO, 22/21:	
25. SUMMARY OF EVENTS AND STATUS, INCLUDING CHANGES AND PROGRESS FROM LAST QUARTER:							
26. PREPARED BY (AERC):			27. OFFICE SYMBOL:		28. TELEPHONE NO.:		

ENG FORM 4858A-R, MAY 99                      EDITION OF FEB 97 IS OBSOLETE.                      (Proponent: CEMP-EC)

FIGURE EE-2. ENG FORM 4858A-R, QUARTERLY A-E LIABILITY CASE REPORT



## INSTRUCTIONS FOR ENG FORM 4858A-R

General: A separate form is required for each A-E liability case until it is dropped or settled. Instructions are provided below for items that are not self-explanatory. Attach additional sheets if needed.

1. Enter the three character office symbol; e.g., NWO for Omaha District.
2. Use the following format for the case number: FY-XXX, where FY is the fiscal year in which the liability case was originated and XXX is a sequential serial number.
9. Identify key consultants by name, and city and state address, if involved.
11. Indicate date(s) and means (T=telephone; L=letter) of initial notification to the A-E.

15/16. Enter date and docket number of appeal to Armed Services Board of Contract Appeals (ASBCA) or Court of Federal Claims (CFC).

Note for Items 18-22: See EP 715-1-7, Appendix DD for a detailed discussion of the determination of damages. Update damages, especially investigation and recovery costs, as the case progresses. Round off to nearest dollar.

18. Enter the additional construction costs the Government incurred due to A-E design errors or omissions, or performance deficiencies, such as tear out, reinstallation, premium for expedited delivery, and delay and extended overhead.

19. Enter the S&A costs associated with the additional construction costs. Also include costs for redesign (if not performed by the original A-E firm), procurement of equipment or construction, and lessened value.

20. Enter all costs to investigate the A-E liability, and to pursue the recovery of damages. Do not include labor costs of personnel who normally charge to overhead.

25. Summarize key events in the case.

a. This should generally be a one-line entry for each event. Earlier entries do not have to be repeated for liability cases in the later stages of litigation.

b. Make a concise statement on the status. For example, when the last step has been a conference with the A-E, a statement might be made that there has been no change in the Government's position and the A-E has been told that a COD will be issued within 30 days.

c. Give a brief statement of any changes in the case from the last report.

*(Reverse of ENG FORM 4858A-R)*



## APPENDIX FF

### Nondisclosure Certification for Source Selection Participation

#### ***Release of Source Selection Information***

The Procurement Integrity Act precludes individuals from knowingly disclosing source selection information and contractor bid or proposal information before award of a Federal contract to which the information relates. However, the following individuals are authorized to approve release of source selection information to other authorized Government officials that have signed a nondisclosure statement providing the release would not jeopardize the integrity or successful completion of the procurement:

- When the release is after issuance of the solicitation, but prior to contract award:
  - For formal source selections the SSA.
  - For other than formal source selections the PARC.
  - When the release is prior to issuance of the solicitation the contracting officer.

#### ***Security Briefing***

Ensure all SSO personnel attend a security briefing that emphasizes that each SSO member:

- Is responsible for security of the evaluation and proposal materials and other source selection and proprietary information related to the procurement;
- Should be knowledgeable of, and adhere to, governing security procedures and regulations;
- Will not discuss, communicate, or otherwise deal on matters related to the source selection with any individual not assigned to the SSO, unless authorized (See above), and then only within appropriately secure areas; and
- Will challenge the presence of any apparent unauthorized individual within the SSO physical location.

#### ***Required Certificates and Reports***

Each SSO member (including support personnel) must sign a certificate(s) that addresses nondisclosure of information, conflicts of interest, and rules of conduct (see sample certificate as follows).

## SOURCE SELECTION PARTICIPATION AGREEMENT

***Important! This Agreement concerns a matter within the jurisdiction of a United States Government agency. Individuals who make false, fictitious, or fraudulent statements and/or certifications may be subject to prosecution under 18 U.S.C, §1001.***

### AGREEMENT

1. This Agreement applies to individuals involved in Solicitation *{Number}*, also known as the *{Program Name}* (The solicitation number and program name should be included in the Header of each page of the Agreement).
2. This Agreement contains the rules of conduct relating to this acquisition. It includes rules of conduct regarding conflicts of interest as well as rules of conduct regarding the safeguarding of confidential information.
3. Your signature on this Agreement indicates that you have read this Agreement and agree to be bound by its terms.

### TERMS

4. I have read, understand and will abide by the requirements of Section 27 of the Office of Federal Procurement Policy Act (41 USC 423) as implemented in the Federal Acquisition Regulation (FAR) §3.104. The Contracting Officer has made a copy of FAR §3.104 available to me.
  5. \* To the best of my knowledge, neither I, my spouse, my dependent child(ren), nor members of my household:
    - a. Have any direct or indirect financial interest:
      - (1) In any firm on the list of potential offerors or which has otherwise expressed an interest in the acquisition (if this certification is made prior to receipt/opening of proposals).
      - (2) In any of the firms submitting proposals in response to this Solicitation or their proposed team members/subcontractors (if this certification is made subsequent to receipt/opening of proposals).
    - b. Have any other beneficial interest in such firms except:
-

6. \* To the best of my knowledge, no person related to me by blood or marriage or any business associate is employed by or has a direct or indirect financial interest or any other beneficial interest in the firms referenced in paragraph 5.a, above, except:

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\* The listing of interests or activities under paragraphs 5 and 6 above does not mean that the employee cannot participate in the acquisition/source selection process. The effect of the interests/activities will be determined by the Chairperson of the Source Selection Evaluation Board (SSEB), as set out in the Source Selection Evaluation Plan (or the Contracting Officer for acquisitions at his/her level), after consultation with legal counsel.

7. I understand that 41 U.S.C. 423 and provisions of the FAR govern the release of proprietary and source selection information. I will not knowingly disclose any contractor bid or proposal information or source selection information regarding this acquisition directly or indirectly to any person other than a person authorized by the head of the agency or the Contracting Officer to receive such information.

8. I will observe the following rules during the conduct of the acquisition:

a. I will not solicit or accept, directly or indirectly, any promise of future employment or business opportunity from, or engage, directly or indirectly, in any discussion of future employment or business opportunity with, any officer, employee, representative, agent, or consultant of a competing contractor.

b. I will not ask for, demand, exact, solicit, seek, accept, receive, or agree to receive, directly or indirectly, any money, gratuity, or other thing of value from any officer, employee, representative, agent, or consultant of any competing contractor for this acquisition. I will advise my family that the acceptance of a gratuity from those who are engaged in or seek to do business with the Department of Defense may be imputed to me and must therefore be avoided.

c. I will instruct members of my parent or home organization not to divulge my participation in the evaluation and source selection process or my physical location while participating in the evaluation and source selection process to unauthorized persons.

d. I understand that all communications with offerors or their team members/subcontractors concerning this acquisition must be made by/through the Contracting Officer or his or her designee. I will divert all attempted communications by offerors' representatives or any other unauthorized person to the Contracting Officer, and advise the Chairperson of the SSEB and legal counsel.

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e. I will not discuss evaluation or source selection matters, including proprietary proposal information, with any unauthorized individuals (including Government personnel), even after the announcement of the successful contractor, unless authorized by proper authority. All discussions of evaluation/source selection matters with other SSEB members shall be conducted solely in those areas designated for deliberations.

9. I realize that my actions in connection with my participation in this source selection are subject to intense scrutiny and I will conduct myself in a way that will not adversely affect the confidence of the public in the source selection process. I will avoid any action, whether or not prohibited, that could result in or create the appearance of my losing independence or impartiality. I will not use my public office for private gain, and I agree not to engage in any personal business or professional activity, or enter into any financial transaction, that involves or appears to involve the direct or indirect use of "inside information" to further a private gain for myself or others.

10. I understand that my obligations under this certification are of a continuing nature, and if anything takes place which would cause a change to any statement, or create a violation of any representation or rule of conduct herein, I will immediately bring such matter to the attention of the Chairperson of the SSEB, or the Contracting Officer.

#### **CERTIFICATION**

11. I agree to the Terms of this Agreement and certify that I have read and understand the above Agreement. I further certify that the statements made herein are true and correct.

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**Signature**

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**Name (Printed)**

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