DEPARTMENT OF
HEALTH AND HUMAN SERVICES

Federal Acquisition Certification for Contracting Officer's Representatives (FAC-COR) Handbook

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Office of the Assistant Secretary for Financial Resources (ASFR)
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EXECUTIVE SUMMARY

As part of the Office of Federal Procurement Policy's October 2009 Acquisition Workforce Development Strategic Plan, a multi-agency Functional Advisory Board (FAB) was established to improve the Federal Acquisition Certification for Contracting Officer's Technical Representatives (FAC-COTR) program and make recommendations to effectively manage this sector of the acquisition workforce. The revisions to the program reflect the recommendation from the FAB, Chief Acquisition Officers Council (CAOC), the Federal Acquisition Institute (FAI), and other subject matter experts. The new program entitled the "Federal Acquisition Certification for Contracting Officer's Representatives (FAC-COR)," and the additional language in the Federal Acquisition Regulation (FAR) are designed to strengthen the acquisition workforce to improve program outcomes, consistent with the President's March 2009 Memorandum on Government Contracting, and reflects the need to improve the management of high-risk contracts, such as those for large information technology contracts, consistent with the Office of Management and Budget (OMB) "25 Point Implementation Plan to Reform Federal Information Technology Management."

Contracting Officer's Representatives (CORs) ensure that contractors meet the commitments of their contracts. CORs are often the first to recognize when a program or contract is under-performing, and are increasingly being asked to manage high-value, complex contracts that involve varying degrees of risk. To be sure that CORs are trained and developed appropriately, the Office of Federal Procurement Policy (OFPP) issued a memorandum on September 6, 2011, entitled "Revisions to the Federal Acquisition Certification for Contracting Officer's Representative (FAC-COR)" which replaces OFPP's Federal Acquisition Certification for Contracting Officer Technical Representatives (FAC-COTR) originally issued in November 2007. The revised program will be a three-tiered certification program that will institute risk-based competency requirements for CORs. The new FAC-COR requirements will be effective January 1, 2012.

The term COTR is being changed to COR to align with the Federal Acquisition Regulation (FAR), which now incorporates a definition for "Contracting Officer's Representative" and includes the designation of a COR as part of a Contracting Officer's responsibilities (See FAR Part 1.602-2 (Responsibilities) and FAR Part 2.101 (Definitions).

FAI's FAC-COR program includes three different levels of certification, depending on the core competency, training, and experience required to manage different types of acquisitions:

- Entry/Apprentice – Level I
- Mid-level/Journeyman – Level II
- Senior/Expert – Level III

Core competencies vary by certification level and are designed to build commonality across the federal government's acquisition workforce.

As stated in the OFPP memorandum--

> "*Strengthening the acquisition workforce is critical to ensuring that the government gets the best value for the more than $500 billion of goods and services it procures annually."*

The Department of Health and Human Services (HHS) shares this belief. This handbook represents the HHS implementation of the FAC-COR program. It addresses applicability; required competencies and related training; alternative means of satisfying FAC-COR certification requirements; time frames for certification; waiver authorities; and continuous learning activity requirements.

The Office of the Assistant Secretary for Financial Resources (ASFR), Office of Grants & Acquisition Policy and Accountability (ASFR/OGAPA), Division of Acquisition (DA) is responsible for management of HHS' FAC-COR certification program. Staff Divisions (StaffDivs) and Operating Divisions (OPDIVs) may issue supplemental guidance and requirements for contract complexity, dollar value thresholds, additional skills, and competencies to meet organizational or mission needs. However, StaffDivs/OPDIVs may not reduce the requirements specified herein.

Additional information regarding the FAC-COR program is available at FAI website at: www.fai.gov. "FAC-COR Frequently Asked Questions," may be accessed at: FAC-COR Frequently Asked Questions**.**

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CHAPTER 1
IMPLEMENTATION OF HHS' FAC-COR PROGRAM

A. Purpose

The Department of Health and Human Services (HHS) Acquisition Policy Memorandum No: 2012-02, effective January 25, 2012, represents HHS' revisions to the Federal Acquisition Certification for Contracting Officer's Representative (FAC-COR) program; establishes FAC-COR certification as a prerequisite for serving as a COR within HHS and the Staff Divisions (StaffDivs)/Operating Divisions (OPDIVs); and promulgates interim acquisition guidance, pending formal incorporation in the HHS Acquisition Regulation (HHSAR).

HHS will maintain a program for training employees for certification and appointment as Contracting Officer's Representatives (CORs). Prior to appointment as a COR, all HHS COR candidates shall be certified eligible under HHS' Federal Acquisition Certification for Contracting Officer's Representative (FAC-COR) program.

This guide implements the requirements set forth in HHS' Acquisition Policy Memorandum No: 2012-02 "Federal Acquisition Certification for Contracting Officer's Representatives" and the Office of Federal Procurement Policy (OFPP) Memorandum, "Revisions to the Federal Acquisition Certification for Contracting Officer's Representatives (FAC-COR)," dated September 6, 2011. These certification procedures and guidelines map out standard competencies HHS CORs must achieve[1].

HHS' current Federal Acquisition Certification for Contracting Officer's Technical Representative (FAC-COTR) policy will be revised to establish a risk-based, three-tiered FAC-COR certification program. The term Contracting Officer's Technical Representative (COTR) is being changed to COR to align with the Federal Acquisition Regulation (FAR), which now incorporates a definition for "Contracting Officer's Representative" and includes designation of a COR as part of a Contracting Officer's responsibilities (See FAR Parts 1.602-2 "Responsibilities" and 2.101, "Definitions"). This handbook supplements the HHS Acquisition Policy Memorandum 2008-01 dated October 1, 2008.

[1] Reflects recommendations from the Office of Federal Procurement Policy's (OFPPs) Functional Advisory Board (FAB) for CORs, Chief Acquisition Officers Council (CAOC), and the Federal Acquisition Institute (FAI), and applies to all executive agencies, except those subject to the Defense Acquisition Workforce Improvement Act (DAWIA).

B. Authorities

The FAC-COR is issued pursuant to the Office of Federal Procurement Policy (OFPP) Act, 41 U.S.C § 1101 et. seq., and OFPP Policy Letter 05-01, which established a requirement for federal acquisition certification programs. The following statutes and policies provide authority for the HHS' FAC-COR program:

- OFPP Memorandum, "*Revisions to the Federal Acquisition Certification for Contracting Officer's Representatives (FAC-COR)," dated September 6, 2011*
- OFPP Memorandum, "*The Federal Acquisition Certification for Contracting Officer Technical Representative*," dated November 26, 2007
- Acquisition Policy Memorandum No: 2012-02 (effective January 25, 2012), "*Federal Acquisition Certification for Contracting Officer's Representatives*"
- Assistant Secretary for Administration and Management Memorandum, "*Definition of HHS' Acquisition Workforce*," dated December 2, 2008
- OFPP Policy Letter 05-01, "*Developing and Managing the Acquisition Workforce*," paragraph 8(c) (April 15, 2005)
- Services Acquisition Reform Act of 2003, Public Law 108-136

C. Applicability

HHS accomplishes its mission and objectives in a variety of ways, through the use of federal staff, federal financial assistance mechanisms (grants and cooperative agreements), and acquisition. The FAC-COR program applies to all executive agencies, except the Department of Defense (DoD). This federal certification shall be accepted by all civilian agencies as evidence that an employee meets the core training and experience requirements to perform COR functions in accordance with agency policy[2].

D. Governance

The Departmental Acquisition Career Manager (ACM), in ASFR/OGAPA/DA, serves as the Departmental FAC-COR Program Manager and is responsible for administering the program. To support the management of the FAC-COR program at the StaffDiv/OPDIV levels, Heads of Contracting Activity (HCAs) may delegate this responsibility to their existing Acquisition Career Manager (ACM).

[2] As necessary, StaffDivs/OPDIVs covered by this FAC-COR policy may require additional training, dollar thresholds, and/or experience, above the appropriate FAC-COR requirements.

E. Definitions

1. Acquisition Career Manager (ACM) (Department-Level) – A Federal employee from Assistant Secretary for Financial Resources – Office of Grants and Acquisition Policy and Accountability – Division of Acquisition (ASFR/OGAPA/DA) responsible for administering the Department's certification programs to ensure that the Department's acquisition workforce members meet the requirements of OFPP Policy Letter 05-01.

2. Acquisition Career Manager (ACM) (StaffDiv/OPDIV-Level) – A Federal employee responsible for leading the StaffDivs/OPDIVs acquisition career management program and ensuring that the StaffDiv/OPDIV acquisition workforce members meet the requirements of OFPP Policy Letter 05-01.

3. Continuous Learning Points (CLPs) - Points awarded for successful completion of continuous learning activities. One CLP equates generally to one classroom hour and varies for other learning activities, as described in Appendix D of this handbook.

4. Contracting Officer – A Federal employee expressly warranted to enter into, administer and/or terminate contracts and make related determinations and findings.

5. Contracting Officer's Representative (COR) - A Federal employee to whom a Contracting Officer has delegated authority in writing to act as his or her representative in monitoring specified aspects of contractor performance. These aspects may include ensuring that the contractor's performance meets the standards set forth in the contract, ensuring the contractor meets the technical requirements under the contract by the delivery date(s) and/or within the period of performance, and ensuring that the contractor performs within the price or estimated cost stated in the contract.

6. FAC-COR Program Manager – An ASFR/OGAPA/DA employee designated as the overall Departmental coordinator for all StaffDiv/OPDIV FAC-COR administration. The FAC-COR Program Manager's responsibilities may include: coordinating the provisions of training; assuring that the training meets FAC-COR program requirements; communicating training drivers to various Staff and Operating Divisions (StaffDiv/OPDIVs); and communicating federal mandates as they relate to FAC-COR certification.

7. FAC-P/PM Program – A certification program that focuses on training, experience, and continuous learning activity requirements for professionals that manage the acquisition of major and non-major capital investments.

8. Head of Contracting Activity (HCA) – An Operating Division official responsible for conducting an effective and efficient acquisition program including

establishing, managing, and monitoring HHS' FAC-COR certification program for his/her StaffDiv/OPDIV.

9. Project Management – A specific investment having defined goals, objectives, requirements, lifecycle costs, a beginning and an end that delivers a specific product, service or result.

10. Program Management – A group of related work efforts, including projects, managed in a coordinated way. Programs typically include elements of ongoing work.

11. Senior Procurement Executive (SPE) – HHS' Senior Official responsible for management direction of acquisitions, procurement systems, and acquisition workforce – including the implementation of policies, regulations, and standards.

F. General Program Structure

HHS' FAC-COR program will include three levels:

- Level I will require a minimum of 24 hours of acquisition-related training. This level of COR is generally appropriate for individuals serving on technical evaluation panels as well as supporting low-risk contract vehicles – such as firm-fixed price and services/supply contracts and orders that do not exceed $25,000. Level I CORs are required to maintain at least 16 hours of training every 2 years.

- Level II will require a minimum of 60 hours of acquisition-related training and 1 year of previous COR experience. This COR level is generally appropriate for contract vehicles of moderate to high complexity and has contract threshold values that range from $25K to $10M. Level II CORs are required to maintain at least 40 hours of training every 2 years.

- Level III will require a minimum of 96 hours of acquisition-related training and 2 years of previous COR experience on federal projects. This COR level is appropriate for highly complex – mission critical contract vehicles that require significant acquisition investment. These CORs are often called upon to perform significant project/program management activities and manage contracts that exceed $10M in value. Level III CORs are required to maintain at least 80 hours of training every 2 years.

As necessary, StaffDivs/OPDIVs covered by this FAC-COR policy may require additional training, dollar thresholds, and/or experience, above the appropriate FAC-COR requirements.

G. Key Competencies

The Department's FAC-COR certification program has expanded training and development for CORs to include specialized areas and levels of complexity. HHS' COR competency model is designed to enhance proficiency levels. Organizational benefits may include:

- Matching the current workforce profile with the organization's performance requirements;
- Helping to recruit and retain the skills and proficiency levels needed for CORs – both current and future;
- Developing assessments that tie competencies to training; and
- Linking HHS' COR responsibilities (See Appendix A – HHS' COR Responsibilities) to key competencies (See Appendix B – FAI's Key Competencies for CORs) required for successful contract management. A definition for each competency is provided at www.fai.gov.

While general business competencies can be achieved through required training, specific coursework for FAC-COR certification may be prescribed by the HCA or designee. Specific coursework should be based on a CORs proficiency level relating to an area of specialization (e.g., information technology, construction, research and development).

CHAPTER 2
REQUIREMENTS AND PERFORMANCE ACCOUNTABILITY

A. Certification

1. **General.** HHS' FAC-COR program will include: (1) competency-based core training to achieve certification; (2) experience requirements for Level II and III certifications; and (3) continuous learning to maintain certification. Obtaining a FAC-COR certification makes an individual eligible for appointment as a COR, which must be made in writing by the Contracting Officer, but does not mandate an individual's appointment as a COR. The Contracting Officer will make this determination in accordance with requirements of the contract.

2. **COR Responsibilities.** CORs are integral and valued members of the HHS acquisition workforce because they help to monitor and manage contracts. Further, these individuals provide the expertise necessary to convey the Government's requirements, oversee the performance of the contractor, and ensure that deliverables meet the contractual requirements. Appendix A – HHS' COR Responsibilities – provides an overview of the aspects of contracting and the important role that HHS' CORs play in successful contracting.

3. **Certification Levels.** Table 1 – FAC-COR Experience and Training Requirements – summarize the experience and training requirements for each of the three certification levels – Level I (Entry/Apprentice), Level II (Mid-level/Journeyman), and Level III (Senior/Expert). A discussion of required experience, contract type and complexity knowledge, minimum core training, and recertification requirements are described below. Each FAC-COR certification level is independent of the others – i.e., applicants for the Senior/Expert level need not have been certified at the Mid-level/Journeyman or Entry/Apprentice levels. A combination of required experience, training, and/or professional certifications is necessary for FAC-COR certification.

Table 1 – FAC-COR Experience and Training Requirements

Entry/Apprentice (Level I)	Mid-level/Journeyman (Level II)	Senior/Expert (Level III)
Experience: Level I CORs do not have an experience requirement. However, knowledge of the general business competencies identified in Appendix B – FAI's Key Competencies for CORs – are required.	**Experience**: At least 1 year of previous COR experience within the last 4 years that includes – at a minimum –experience required for the Entry/Apprentice level as well as the following: • The ability to demonstrate the general business and technical competencies identified in Appendix B – FAI's Key Competencies for CORs – are required.	**Experience**: At least 2 years of previous COR experience on *federal* projects within the last 4 years that includes – at a minimum – experience required for the Mid/Journeyman level as well as the following: • Expertise in demonstrating the general business and technical competencies identified in Appendix B – FAI's Key Competencies for CORs; • Constructing a work breakdown structure; • Preparing project analysis documents; • Tailoring acquisition documents; • Analyzing and/or developing requirements; • Monitoring performance; • Assisting with quality assurance; and • Budget development.
Required Contract Type & Complexity Knowledge Low-Risk Contracts such as: • Firm-Fixed Price • Service/Supply contracts • Orders	**Required Contract Type & Complexity Knowledge** Moderate to High Complexity Contracts such as: • Cost-Reimbursement contracts; and • All contract types listed in Level I	**Required Contract Type & Complexity Knowledge** Most Complex / Mission Critical Contracts such as: • All contract types
Minimum Core Training: In addition to StaffDiv/OPDIV specific training, Level I CORs are required to take: 16 Hours – Appropriations Law Training 08 Hours – COR Training	**Minimum Core Training**: In addition to StaffDiv/OPDIV specific training, Level II CORs are required to take: 40 Hours – COR Training 16 Hours – Appropriations Law Training 1 Acquisition-related Elective	**Minimum Core Training**: 40 Hours – COR Training 16 Hours – Appropriations Law Training 16 Hours – Introduction to Project/Program Management Training 08 Hours – EVM and Cost Estimating Training 08 Hours – Risk Management Training 08 Hours – IT, Construction, or Advanced Research & Development (AR&D) Acquisition Training
Minimum CLP Recertification Requirements 1 Day – COR Refresher Training Appropriations Law Refresher 1 Acquisition-related Elective	**Minimum CLP Recertification Requirements** 1 Day – COR Refresher Training Appropriations Law Refresher 1 Acquisition-related Elective 1 Contracting Course Elective	**Minimum CLP Recertification Requirements** 1 Day – COR Refresher Training Appropriations Law Refresher 1 Acquisition-related Elective 1 Contracting Course Elective 1 Ethics and Fraud Awareness Course

4. Certification Requirements.

- Any individual appointed to serve as a COR must have a FAC-COR certification[3].

- Certification is obtained through competency-based and assignment-specific training. Ongoing continuous learning is then required to maintain active certification.

- HCA's or their designees (typically Acquisition Career Managers) have been delegated the authority to establish, manage, and monitor their respective StaffDiv/OPDIV FAC-COR programs. In performing these functions, HCA's should work closely with StaffDiv/OPDIV managers who have general responsibilities for training, competencies, and performance management.

- For initial FAC-COR certifications, applicants are required to complete coursework that includes the key competencies stated in Appendix B (FAI's Key Competencies for CORs) of this Handbook. FAC-COR certifications are valid for two years from the date that such coursework was completed[4].

- HHS recognizes and accepts FAC-COR certifications issued by other Federal agencies or any HCA or designee.

- Individuals who have served in a COR capacity at another agency, and participated in another federal agency's COR training previous to the FAC-COR program may seek recognition for fulfillment of the FAC-COR requirements and demonstrate their proficiency by completing the FAC-COR Certification through Fulfillment Form (see Appendix H) and submitting the information to their HCA or designee.

- Individuals who hold a Federal Acquisition Certification in Contracting (FAC-C) or Project/Program Management (FAC-P/PM) Level I or Level II are considered to have met the FAC-COR requirements for FAC-COR Level II. Individuals who hold a FAC-C and/or FAC-P/PM Level III are considered to have met the FAC-COR Level III requirements[5]. However, they must still submit the necessary documents to obtain certification.

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[3] CORs must receive appropriate training on accessing their StaffDiv/OPDIVs invoice processing system (e.g., UFMS/iProcurement) to learn about receiving, acceptance, and invoice approval functions. Generally, since purchase card transactions are limited to routine supplies and services, cardholders should not need to delegate technical responsibilities to a COR.

[4] Within reason, the HCA (or designee) may use discretion in determining suitable timeframes for accepting training and determining certification expiration dates.

[5] HHS shall follow any determinations made by FAI/OFPP as to which certifications by organizations outside the federal government are eligible for full or partial consideration under the FAC-COR. A copy of the certification must accompany the application.

- CORs are also subject to any specialized mandatory training requirements specified in interim HHSAR guidance, the official HHSAR, and HHS' Affirmative Procurement Plan.

5. COR Appointment Procedures.

- The Contracting Officer will decide whether a COR is necessary to support a specific contract, and will advise the program office of this decision as early into the acquisition process as practical. If an individual is performing pre-award tasks, such as requirements determination, quality assurance plans, and proposal evaluation, it is highly recommended that he/she be issued a COR appointment memorandum at that time that addresses both pre-award and post-award responsibilities. This ensures that the COR is familiar with the requirements of the contract.

- Conditions favoring the need for a COR include, but are not limited to: cost-type contracts; service contracts; high visibility or otherwise sensitive contracts; large, complex, or high-risk awards; awards subject to testing requirements; performance-based acquisitions; etc. COR appointments are required for all A&E services, construction contracts, and contracts performed outside the United States. Appointment of a COR is generally not necessary when oversight duties are limited to verifying the quantity and quality of delivered items. A Contracting Officer will appoint an individual to be a COR based on his/her determination regarding the technical, professional, and administrative qualifications of the individual. Contracting Officers may require a COR to complete additional training if deemed necessary for the successful administration of a contract.

- Operating and Staff Divisions will delegate COR authority in accordance with Departmental policy. It is acceptable for offices to appoint alternate CORs in the event the primary COR is unavailable. Before a Contracting Officer appoints a COR, he/she must be assured that the COR is free of conflicts of interest and has the technical capability to perform the required administrative and oversight functions for the particular acquisition.

- The Contracting Officer will define the appointment duration in the written delegation of authority and has the right to revoke the delegation in writing. The COR does not have the authority to re-delegate his or her COR appointment. Appendix E – FAC-COR Appointment Letter – provides a template for written appointments and can be tailored as needed. The Contracting Officer's authority to bind the government may not be delegated to a COR.

- A copy of the CORs appointment letter **and** certification must be a part of the contract file.

6. **Continuous Learning Requirements.** FAC-COR certification is valid for 2 years. To maintain FAC-COR certification, CORs are required to earn continuous learning points (CLPs) of skills currency training every 2 years. The 2-year CLP period begins on the date an individual is certified or recertified. CORs are responsible for tracking and maintaining their training records[6], monitoring and managing their acquisition training needs, and notifying their immediate supervisors of ongoing training requirements for maintenance of their certifications. The StaffDiv/OPDIV ACM must monitor the continuous learning requirements to ensure certifications remain active. If the required CLPs are not earned within each 2-year period, a FAC-COR certification will lapse. Lapsed certifications may be reinstated when the applicable Level number of CLPs has been accumulated. Continuous learning activities must be related to acquisition management, contracting, or project/program management and include, but are not limited to the following:

    a. Training activities, such as teaching, self-destructed study, and mentoring;

    b. Courses completed to achieve certification at the next higher level;

    c. Professional activities, such as attending/speaking/presenting at professional seminars/symposia/conferences, publishing papers, and attending workshops;

    d. Educational activities, such as formal training and formal academic programs; and

    e. Experience, such as developmental or rotational assignments.

    Additional information about continuous learning is available in Appendix D – Federal Acquisition Certification – Contracting Officer's Representatives – Guidance on Meeting Requirements for Continuous Learning Points.

B. Performance Accountability

Sound contract management depends on the effective execution of COR responsibilities. CORs protect the Department's interests by ensuring that: the government receives services and items that meet contract requirements for quality and quantity, contractor performance is timely, and payments to contractors are appropriate. At least one critical element in his/her performance standard must be specific to contract management or the COR duties described in the Contracting Officer's memorandum of appointment.

[6] FAI's Federal Acquisition Institute Training Application System (FAITAS) is the central acquisition workforce information system for all civilian agencies and supports the FAC-COR program.

CHAPTER 3
APPLICATION AND CERTIFICATION PROCEDURES

A. Basic Certification

1. **Initial Certification.** To qualify for FAC-COR certification, a candidate is required to have the **minimum** number of CLPs required for the applicable level within 2 years of submitting an application for FAC-COR Certification. The training can be obtained from many commercially-available training sources, including (but not limited to) the vendors listed in Appendix C – FAC-COR Curriculum Guidance. Coursework must cover the essential COR competencies listed in Appendix B – FAI's Key Competencies for CORs. If competencies were attained through successful completion of training or academic courses provided at an accredited institution, the candidate must provide the institution's name, course names, course descriptions, and course completion dates with the competencies achieved using Appendix F – FAC-COR Certification Action and Training Request Form. Each FAC-COR certification is valid for 2 years.

2. **Curriculum Guidance.** Appendix C – FAC-COR Curriculum Guidance is courses that meet the requirements for initial FAC-COR certification. An in-depth review of the coursework has been conducted and it has been determined that the courses listed below meet the professional business and technical competencies set-forth by FAI for CORs. The courses can be accessed by registering at www.fai.gov or www.dau.mil.

3. **Application procedures.** In accordance with the instructions provided therein, FAC-COR candidates must complete, sign, and date the –

   - **FAC-COR Levels I, II, and III.** Federal Acquisition Certification for Contracting Officer's Representative – Certification Action and Training Request Form (Appendix F). Attach all necessary information – e.g., training certificates, transcripts, or other evidence that documents the candidate has met the training requirements at the requested level.

   - **FAC-COR Levels II and III.** Federal Acquisition Certification for Contracting Officer's Representative – Functional Experience Transcript Form (Appendix G). NOTE: This form provides an overview of the CORs experience – as it relates to the specified competencies.

   Within 15 business days, the HCA or designee will review the completed application and either grant or reject the applicant's certification. If certification is granted, the HCA or designee will issue a certificate indicating achievement of HHS COR standards.

i. **Certification Level I.**

Step 1. The candidate's immediate supervisor must review Appendix F (FAC-COR Certification Action and Training Request Form).

- If the immediate supervisor concurs that the candidate has met the certification action requirements for the level requested, the immediate supervisor must check the concurrence block on the Federal Acquisition Certification for Contracting Officer's Representative – Certification Action and Training Request Form, sign and date where indicated, and provide the certification package to the StaffDiv/OPDIV ACM for review and concurrence.
    - If the candidate has not met the certification action requirements for the level requested, the immediate supervisor must check the non-concurrence block, provide a written rationale, sign and date where indicated, and if appropriate, develop with the candidate a plan for enhancing or adding to the individual's competencies.

Step 2. The StaffDiv/OPDIV ACM must review Appendix F (FAC-COR Certification Action and Training Request Form) for completeness and adequacy.

- If the StaffDiv/OPDIV ACM agrees that the candidate has met the certification action requirements, the StaffDiv/OPDIV ACM must check the approval block on the Federal Acquisition Certification – Contracting Officer's Representative – Certification Action and Training Request Form, sign and date where indicated, and return the certification package to the candidate through the individual's immediate supervisor.
    - If the candidate has not met the certification action requirements for the level requested, the StaffDiv/OPDIV ACM must check the disapproval block, sign and date where indicated, and document the rationale for disapproval. The StaffDiv/OPDIV ACM must then return the disapproved certification request to the candidate through the individual's immediate supervisor.

ii. **Certification Levels II and III.**

Step 1. The candidate's immediate supervisor must review Appendix F (FAC-COR Certification Action and Training Request Form), and Appendix G (FAC-COR Functional Experience Transcript).

- If the immediate supervisor concurs that the candidate has met the certification action requirements for the level requested, the immediate supervisor must check the concurrence block on the Federal Acquisition Certification for Contracting Officer's Representative – Certification Action

and Training Request Form, and Functional Experience Transcript, sign and date where indicated, and provide the certification package to the StaffDiv/OPDIV ACM for review and concurrence.

- If the candidate has not met the certification action requirements for the level requested, the immediate supervisor must check the non-concurrence block, provide a written rationale, sign and date where indicated, and if appropriate, develop with the candidate a plan for enhancing or adding to the individual's competencies.

Step 2. The StaffDiv/OPDIV ACM must review Appendix F (FAC-COR Certification Action and Training Request Form) and Appendix G (FAC-COR Functional Experience Transcript) for completeness and adequacy.

- If the StaffDiv/OPDIV ACM agrees that the candidate has met the certification action requirements, the StaffDiv/OPDIV ACM must check the approval block on the Federal Acquisition Certification – Contracting Officer's Representative – Certification Action and Training Request Form, and Functional Experience Transcript, sign and date where indicated, and return the certification package to the candidate through the individual's immediate supervisor.

  - If the candidate has not met the certification action requirements for the level requested, the StaffDiv/OPDIV ACM must check the disapproval block, sign and date where indicated, and document the rationale for disapproval. The StaffDiv/OPDIV ACM must then return the disapproved certification request to the candidate through the individual's immediate supervisor.

B. Certification Transfer

1. **Federal government certifications.** Since HHS honors all current FAC-COR certifications issued by other federal departments and agencies, a certification "transfer" need not be initiated at the time an individual becomes an HHS employee. Instead, the individual must apply for "recertification" (which will result in issuance of an HHS certification) at the time the candidate's immediate supervisor performs the bi-annual assessment to determine whether the candidate has met the FAC-COR CLP requirements. See Chapter 3, Section D, Recertification, for more information.

2. **FAC-COR Reciprocities.** HHS complies with OFPP and FAI's determinations as to which FAC certifications are eligible for full or partial consideration under FAC-COR. FAI's website at: http://www.fai.gov provides more information. The candidate shall provide a copy of the appropriate FAC certification when

requesting a FAC-COR certification in HHS. As long as a FAC-COR candidate has met the years of experience –

a. Candidates who hold a current FAC-C Level I or II and/or FAC-P/PM Level I or II will quality for a FAC-COR Level II.

b. Candidates who hold a current FAC-C Level III and/or FAC-P/PM Level III will quality for a FAC-COR Level III.

C. Certification through Fulfillment

1. **Basis for fulfillment.** Fulfillment is the process by which a candidate demonstrates the attainment of required competencies for certification through alternative training, experience, education, certification by another recognized organization, or other developmental activities. When using this process, the candidate shall provide evidence of having met the required competencies for a particular certification level. Fulfillment applies only to initial certification, not recertification or completion of CLPs. HCAs or their designees may certify individuals who are already proficient in the required competencies.

2. **Alternative training.** If a candidate obtained competencies through courses other than those specified in Chapter 2, Table 1 – FAC-COR Experience and Training Requirements, the candidate must provide for each competency the dates of the training, course descriptions, provider names, course grades (if applicable) or certificates, and the competencies achieved.

3. **Experience.** If a candidate obtained competencies through experience other than that specified in Chapter 2, Table 1 – FAC-COR Experience and Training Requirements, the candidate must list the agency, employment dates, location, position titles, a brief description and dollar amount of the types of acquisitions, and the duties performed that provided the relevant competencies.

4. **Education.** If a candidate obtained competencies through academic courses provided at an accredited institution(s), the candidate must provide the dates of each course completed, course descriptions, institution(s) name(s), course grades (if applicable) or certificates, transcripts, and competencies achieved. The candidate shall provide a copy of the transcript with the application.

5. **Application procedure.** The candidate must provide evidence of fulfillment by completing the Federal Acquisition Certification – Contracting Officer's Representative – Certification through Fulfillment Form (Appendix H). The application procedures and concurrences/approvals required for certifications through fulfillment are the same as those specified for basic certification at the specified certification levels – see Chapter 3, Section A, Basic Certification, for more information.

D. Recertification

1. **Requirements.** The immediate supervisor of each certified Contracting Officer's Representative (at any level) must review each record for evidence that the COR has earned the applicable amount of CLPs in the prior 2 years. This includes CORs applying for recertification who have a current certification issued by another federal department or agency (See Chapter 2, Table 1 – FAC-COR Experience and Training Requirements).

2. **Application procedures.** The application procedures and concurrences/approval required for recertification are essentially the same as those for basic certification at the specified certification levels (See Chapter 3, Section A, Basic Certification, for more information) with the following exceptions:

   i. Individuals requesting recertification shall submit a properly completed Federal Acquisition Certification – Contracting Officer's Representative Certification Action and Training Request Form (Appendix F) at least 30 days prior to the expiration of the current certification, with a copy of the current certification and proof of earning the applicable amount of CLPs in the 2 years since certification.

   ii. CORs may choose recertification courses from Appendix C – FAC-COR Curriculum Guidance. However, CORs may not reuse previously taken coursework for recertification unless significant changes have caused major revisions that impact the course's content. Lapse certifications may be subject to the adherence of guidelines established for initial certification requirements.

      a. If the applicable amount of CLPs are not earned within 2 years of certification (or recertification), the COR certification may be revoked. If so, the HCA or designee may issue a letter of revocation to the COR, with a copy to his/her manager and the contracting officer.

      b. CORs are responsible for tracking and maintaining their training records in FAI's Federal Acquisition Institute Training Application system (FAITAS), monitoring and managing their acquisition training needs, and notifying their immediate supervisors and Contracting Officers of the ongoing training requirements for maintenance of their certifications.

E. Certification Waivers

1. **Requirements.** All waivers require approval signatures from the applicant's immediate supervisor, servicing ACM, and Executive Officer (EO). The waiver request is then submitted to the Departmental ACM. The Departmental ACM will forward to HHS' Senior Procurement Executive (SPE), who may extend in writing, on a case-by-case basis, the date upon which a COR must be certified

by an additional six months. Additionally, the SPE may waive all or part of the FAC-COR requirements if granting the waiver is in the best interest of the StaffDiv/OPDIV. A written justification shall include the reason for and conditions of the waiver, and the StaffDivs/OPDIVs HCA or designee shall maintain all supporting documentation. (NOTE: Waivers issued by other federal departments and agencies do not transfer to HHS. Waivers are agency specific.)

2. **Application procedure.** The candidate must complete Appendix I – Federal Acquisition Certification – Contracting Officer's Representatives – Certification Waiver Request Form in accordance with the instructions provided therein.

CHAPTER 4
CERTIFICATION MANAGEMENT

A. Federal Acquisition Institute – Training Application System (FAITAS)

1. FAITAS is the central acquisition workforce information system for all civilian agencies and will support the FAC-COR program. CORs are responsible for maintaining certification documentation for quality assurance purposes. FAI is responsible for managing FAITAS and will continue to issue guidance, as necessary, to support FAITAS implementation. More information regarding FAITAS can be found at www.fai.gov.

2. In accordance with OFPP Policy Letter 05-01 entitled *Developing and Managing the Acquisition Workforce*, CORs **must** enter their training data into FAITAS. CORs must update their existing FAITAS records in a timely manner, maintain a print-out of the records, and keep these records current to reflect their certification status and continuous learning points. OFPP, the FAI and Federal agencies use FAITAS information to make strategic acquisition workforce decisions. Because of this, CORs must ensure that this information is accurate. CORs and COR candidates must enter information on pertinent training and certifications into FAITAS upon certification or within 1 month of completion.

B. Program Assistance

The FAC-COR Program Manager serves as the overall Departmental coordinator for policy, guidance, and certification requirements for the FAC-COR program. CORs should contact their HCA or designee for guidance on program requirements, the application process, and available training. The HCA or designee should provide advice on alternative training and continuous learning activities.

Appendix A – HHS' COR Responsibilities

CONTRACT PLANNING
▪ Advise on, or determine, a need for a product or service ▪ Analyze technical requirements of the product or service ▪ Conduct market research to establish technical requirements or identify the marketplace for goods or services ▪ Provide technical information to assist in determining type of contract and level of competition ▪ Prepare the statement of work (SOW) and help establish the solicitation's technical terms and conditions ▪ Plan the technical aspects of the proposal evaluation process
CONTRACT FORMATION
▪ Serve on panels to evaluate bids and proposals ▪ Help establish the contract's technical terms and conditions
CONTRACT MANAGEMENT
Administration: ▪ Serve as agency's technical representative for contract administration ▪ Represent agency in technical meetings, record important facts ▪ Confer with program office and user groups on contract performance ▪ Maintain COR file ▪ Assist contracting officer and contractor in understanding technical requirements
Monitoring the technical work of the contractor, and performing quality assurance and inspection of deliverables: ▪ Determine and list the deliverables required from the contractor, with due dates ▪ Monitor the contractor's compliance with schedule (i.e., deliverables) ▪ Review and approve, or reject, technical deliverables ▪ Give technical direction to contractor ▪ Ensure all work is in accordance with the contract requirements ▪ Review and monitor progress reports and work plans ▪ Ensure the contractor is complying with its quality control systems ▪ Advise the CO of work that is accepted or rejected ▪ Ensure the contractor properly corrects all defects and omissions
Changes and modifications: ▪ Advise the CO of the need to issue change orders; develop estimates for equitable adjustments; and assist in evaluating contractor claims ▪ Perform a technical review of contractor proposed changes
Contractor human resources management and financial management issues: ▪ Ensure contractor displays required materials for EEO, contract laws, and job safety ▪ Report violations of labor standards to the CO ▪ Monitor time worked and contractor record-keeping procedures ▪ Ensure contractor enforces all health and safety requirements ▪ Ensure contractor assigns employees with the necessary capabilities, qualifications, and experience ▪ Review and quickly process contractor invoices ▪ Determine if progress or advance payment requests should be processed
Contract closeout or termination: ▪ Provide technical information for contract closeout and termination decisions ▪ Provide a copy of the COR's file to CO when duties end

Appendix B – FAI's Key Competencies for CORs

General Business Competencies	
Attention to Detail Decision-Making Flexibility Influencing/Negotiating Integrity/Honesty Interpersonal Skills Oral Communication Planning and Evaluating Problem Solving Project Management Reasoning Self-Management/Initiative Teamwork Writing	
Technical Competencies	**Aligned Skills**
Acquisition Planning	▪ Documenting the Source ▪ Methods of Payment ▪ Contract Financing ▪ Unpriced Contracts ▪ Recurring Requirements ▪ Pricing Arrangements ▪ Compliance to FAR Guidelines ▪ Determining Need for EVM ▪ Task and Delivery Order Contracting ▪ Strategic Planning
Market Research	▪ Understanding the Marketplace / Market Research ▪ Collecting Source Information
Defining Government Requirements in Commercial/Non-Commercial Terms	▪ Writing Statements of Work ▪ Conducting Needs Analysis and Preparing Requirements Document ▪ Assisting in the Development of Acquisition Strategy
Effective Pre-Award Communication	▪ Publicizing Proposed Acquisition ▪ Subcontracting Requirements ▪ Solicitation Preparation ▪ Pre-Quote/Pre-Bid/Pre-Proposal Conferences ▪ Amending/Canceling Solicitations
Technical Analysis of Proposals	▪ Evaluating Non-Price Factors ▪ Pricing Information from Offerors ▪ Evaluation Documentation
Negotiation	▪ Negotiation Strategy ▪ Conducting Discussion/Negotiations ▪ Determining Capability
Effective Contract Management	▪ Contract Administration Planning and Orientations ▪ Contract Modification and Adjustment ▪ Work Order Management
Performance Management	▪ Performance Metrics ▪ Performance Management ▪ Financial Management ▪ Contract Reporting ▪ Inspection and Acceptance ▪ Specialized Requirements

*These duties and the associated aligned skills are articulated in FAI's COR Competencies report. CORs are reminded that their authority comes from the Contracting Officer's memorandum of appointment. A CORs duties, responsibilities, and obligations are defined by and limited to those articulated in their appointment memorandum and must be exercised in accordance with HHS policies.

OPTIONAL DEFENSE ACQUISITION UNIVERSITY (DAU) ON-LINE TRAINING

COURSE	CLPs / HOURS	Level I	Level II	Level III
CLC 222 – Contracting Officer's Representative (COR) Online Training[7]	**32**		■	■
ELECTIVE/OPTIONAL COURSES:				
FAC 017 – COR Refresher	8	■	■	■
CLB 016 – Introduction to EVM	1			■
CLC 004 – Market Research	3	■	■	
CLC 007 – Contract Source Selection	3	■	■	
CLC 011 – Contracting for the Rest of Us	2	■		
CLC 013 – Services Acquisition	3		■	■
CLC 046 – Green Procurement	2	■	■	■
CLC 106 – COR with a Mission Focus Note: *Includes modules on Ethics and Market Research*	8	■		
CLE 003 – Technical Review	3	■		
CLE 028 – Market Research for Engineering and Technical Personnel	4			■
CLM 003 – Overview of Acquisition Ethics	2	■	■	■
CLM 014 – IPT Management and Leadership	8		■	■
CLM 016 – Cost Estimating	8	■		
CLM 017 – Risk Management	8		■	■
CLM 024 – Contracting Overview	8		■	■
CLM 031 – Improved Statement of Work	4		■	
FAC 033 – Contract Management: Strategies for Mission Success	3		■	■

[7] NOTE: To complete a FAC-COR Level II certification, the additional 8 CLPs may be earned in any combination of the courses below and/or by attending conferences and other learning events. After earning the initial 60 CLPs, CORs are expected to earn 40 CLPs every two years in any combination of the courses below and/or by attending conferences and other learning events. Please consult with your ACM to find out which courses, acquisition-related conferences and learning events qualify for your situation.

OPTIONAL CLASSROOM TRAINING PROVIDERS

SOURCE	COURSE	CLPs /HOURS
BMRA (www.bmra.com)	COR/COR Course	40
Department of Homeland Security (https://www.atrrs.army.mil/atrrscc/course.aspx?sch=568&fy=2010)	COR Course	40
ESI (www.esi-intl.com)	The COR Training Program	40
FAC Academy (www.facacademy.com)	FAC-COR + Training	
Gonzales McCaulley Investment Group (http://www.gmig.org/gsasin27400training.html)	Contracting Officer's Representative Course	40
Houseman & Associates (www.housemanandassociates.com)	Contracting for CORs	40
Learning Tree (www.LearningTree.com)	Senior COR Training for Information Technology Professionals (For FAC-COR Level III)	80
MCI (www.managementconcepts.com)	Contracting Officer's Representative Course	40
Northwest Procurement Institute (NPI) (http://www.npi-training.com/)	COR/COR Certification Course	40
Treasury Acquisition Institute (TAI) (http://www.irs.gov/opportunities/procurement/article/0,,id=125419,00.html)	Contracting Officer's Representative Course	40
Graduate School (http://graduateschool.edu)	Comprehensive COR Workshop	40

HHS does not endorse any vendor on this list – as it is not comprehensive or exclusive. Other outside vendors may offer equivalent training. Applicants interested in FAC-COR certification are responsible for collaborating with their servicing ACM in regards to additional/alternate training opportunities and further guidance on what is acceptable.

Appendix D – FAC-COR Guidance on Meeting Requirements for Continuous Learning Points

These guidelines reflect best-in-practice recommendations for continuous learning. HHS and its StaffDivs/OPDIVs retain flexibility, and supervisors remain responsible, for working with Contracting Officer's Representatives to identify those activities and opportunities of greatest benefit to the professional development of an individual. The training, professional activities, education, and experience that are used to meet the CLP requirements must be acquisition-related. To maintain FAC-COR certification, CORs must earn the applicable number of CLPs every 2 years.

For recertification, CORs are required to complete any COR refresher training, as long as the course content maps to the required competencies (See Chapter 1, Section G). In addition to COR refresher training, CORs assigned to IT projects to which Earned Value Management (EVM) is applied – or service contracts to which Performance-Based Acquisition (PBA) is applied – must successfully complete EVM and PBA courses (as applicable) before assuming their COR duties. CORs assigned to IT projects will also be encouraged to take an OCIO sponsored web-based training course on Enterprise Performance Life Cycle (EPLC). In the first recertification period, a COR should earn a minimum of 4 CLPs to further develop their understanding of both EVM and PBA methodologies. The remaining CLPs required for recertification should cover competencies related to the CORs specific contract assignments. Examples may include performance-based acquisitions, earned value management, time and materials contracts, green purchasing, socioeconomic issues, etc. Up to 8 CLPs may be earned in job-related technical skill development.

A. Training

1. **Completing awareness training.** Periodically, HHS and its StaffDivs/OPDIVs conduct briefing sessions to acquaint the workforce with new or changed policy.

2. **Completing learning modules and training courses.** These may be formal or informal offerings from a recognized training organization, including in-house training courses/sessions.

3. **Performing self-directed study.** An individual can keep current or enhance his or her capabilities through a self-directed study program agreed to by the immediate supervisor.

4. **Teaching.** Employees are encouraged to share their knowledge and insights with others through teaching of courses or learning modules

5. **Mentoring.** Helping others to learn and become more productive workers or managers benefits the agency and the individuals involved.

The table below provides sample training/learning activities and the recommended number of CLPs for each activity:

SAMPLE ACTIVITIES	RECOMMENDED NUMBER OF CLPs/HOURS
Active Association Membership (in relevant contract, project//program management, and/or acquisition associations)	Up to 5 CLPs for actively participating in a membership year **OR** 1 CLP for each 60 minutes of activity attended during the certification period
Professional publication of acquisition-related articles, program management, technical papers, etc.	20 CLPs for articles 25 CLPs for technical paper
Formal rotational assignments	Up to 16 CLPs per certification period
Formal mentoring	Up to 16 CLPs per certification period
Conference presentations, training or seminar delivery	8 CLPs for a 60 minutes first-time presentation (7 CLPs for preparation, 1 CLP for presenting). 1 CLP will be granted for repeat delivery of same material
Specials team leadership activities for new products/activities outside of routine job requirements	Up to 16 CLPs per certification period
Professional examination, license, or certification	Up to 16 CLPs per certification period
1 Continuing Education Unit (CEU)	10 CLPs
Professional Development Unit (PDU), or Professional Development Hour (PDH)	1 CLP
1 college credit or American Council on Education (ACE) credit in relevant contract, project/program management, and/or acquisition courses.	12 CLPs
Acquisition-related conference attendance	1 CLP for each 50 minute presentation attended

NOTE: All activities must correlate with job duties and may earn points only in the year accomplished, awarded, or published.

B. Professional Activities

1. **Participating in organizational management.** Membership alone in a professional organization will not be considered as fulfilling continuous learning requirements, but participation in the leadership of the organization will. This includes holding elected/appointed positions, committee leadership roles, or running an activity for an organization that one is permitted to do under current ethics statutes and regulations. The employee and supervisor must first ensure that participating in the management of an organization is allowed by the agency.

2. **Attending/speaking/presenting at professional seminars, symposia, and conferences.** Employees can receive continuous learning points for attending professional seminars or conferences that are related to acquisition management, contracting, or project/program management. However, the supervisor needs to determine that the individual learned something meaningful from the experience. If the employee is presenting, because significant effort is involved in preparing and delivering presentations, credit should be given for each hour invested in the preparation, as well as the time for the actual presentation.

3. **Publishing.** Writing articles related to acquisition for publication generally meets the criteria for continuous learning points (CLPs). CLPs may be awarded only in the year published.

4. **Participating in workshops.** CLPs may be awarded for workshops with planned learning outcomes.

C. Other Formal Education

1. **Formal training.** Immediate supervisors should use Continuing Education Units (CEUs) as a guide for assigning points for formal training programs that award CEUs. The CEUs can be converted to points at 10 CLPs per CEU.

2. **Formal academic programs.** For formal academic programs offered by educational institutions, each semester hour is equal to one CEU. A 3-hour credit course would be worth 3 CEUs or 30 CLPs, assuming that it is applicable to the acquisition function.

D. Experience

Experience includes on-the-job experiential assignments and intra- or inter-organizational rotational career-broadening and developmental experiences. The supervisor may feel that an individual deserves more or fewer than those shown in the table. In determining CLPs for a rotational/developmental assignment, the supervisor should consider both the long-term benefit to the agency and the immediate benefit to the individual's employing organization and the individual. For example, a second rotational assignment of the same sort would be less valuable than a different type of rotational assignment.

Appendix E – FAC-COR Appointment Letter Template

MEMORANDUM FOR: [CORs Name], [Title],
[StaffDiv/OPDIV], [Organizational Acronym]

FROM: [Contracting Officer's Name], Contracting Officer,
[StaffDiv/OPDIV], [Organizational Acronym]

SUBJECT: Appointment of Contracting Officer's Representative (COR) for Contract
No.: _____

This memorandum appoints you as the Contracting Officer's Representative (COR)[8] with respect to technical matters within the scope of the contractual instrument referenced above. As such, you are authorized to act on behalf of this office in all matters related to the monitoring and oversight of the technical and programmatic aspects of the contract, subject to the limitations set forth in this appointment.

This appointment specifically authorizes you to perform the following duties:

- Serve as the primary liaison between the contractor and the Contracting Officer[9];
- Ensure consistency among multiple CORs under a single contract when providing guidance to the contractor and evaluating the contractor's performance;
- Maintain a complete working file for the assigned contractual instrument;
- Monitor and evaluate the contractor's performance and make timely reports of your findings to the Contracting Officer;
- Complete interim and final evaluations of the contractor's performance under the instrument (see Page 33 for proposed schedule for assessments);

[8] This appointment is contingent upon your submission of the appropriate financial disclosure form and verification of your completion of the required Federal Acquisition Certification for Contracting Officer's Representative (FAC-COR) certification training. Failure to submit the required disclosure or COR certification will result in the revocation of this appointment. If you do not have a current financial disclosure form on file with your Ethics Official, please notify the Contracting Officer immediately.

[9] For the purposes of this appointment memorandum, the term Contracting Officer shall include the Contract Specialist unless otherwise specifically indicated.

- Provide the Contracting Officer with copies of all of your written correspondence (including electronic communications) with the contractor;

- Inform the Contracting Officer of substantive oral communications (e.g., telephone conversations) with the contractor and provide notes and/or summaries of them as requested;

- Inspect and evaluate products (including reports and drafts) and services delivered by the contractor, and make recommendations to the Contracting Officer regarding their acceptability;

- Review and approve/reject contractor's invoices (fixed-price contracts) or vouchers (cost-reimbursement type contracts);

- Monitor the contractor's use of key personnel and notify the Contracting Officer of any changes in key personnel proposed by the contractor;

- Review the qualifications of proposed subcontractors and the appropriateness of subcontracting contract work, and make recommendations to the Contracting Officer regarding consent to the placement of subcontracts;

- Provide the contractor with, monitor the use of, and report on Government-furnished property;

- Provide technical guidance to the contractor;

- Promptly notify the Contracting Officer immediately of any:

  - Actual or potential contractor performance problems;

  - Action or inaction by HHS StaffDiv/OPDIV personnel that may affect the contractor's ability to perform; and

  - Inappropriate action on the part of HHS StaffDiv/OPDIV personnel with regard to the contract (e.g., any action that creates a conflict of interest on the part of the contractor or causes the contractor to perform inherently governmental functions). The COR should concurrently notify the program office of any such action.

- As requested by the Contracting Officer, provide him/her with technical assistance on contract-related matters (e.g., disputes, settlements, litigation, patent and copyright issues, final payment during closeout, etc.);

- Provide timely reports on contractor performance to the Contracting Officer and other interested parties; and

- Ensure proper distribution of final products and other information resulting from the contract.

This appointment does not authorize you to take any action that requires a Contracting Officer's warrant, including:

- Changing any of the contract's terms and conditions;

- Directing the contractor to perform work or make deliveries not specifically required under the contract;

- Waiving or relaxing, in any way, the Government's rights with regard to the Contractor's compliance with the specifications, price, delivery or any other terms or conditions of the contract; and,

- Making any commitments or approving any actions that would create any financial obligation on the part of the Government.

As a COR, you are responsible for maintaining an active FAC-COR certification. During the performance of this contract, please provide the Contracting Officer with certification updates. Contingent on you maintaining an active FAC-COR certification, the period of this appointment shall be from the date of this memorandum until the completion of the contract (including the submission of all required close-out documentation to the Contracting Officer), unless otherwise revoked or canceled, in writing, by the Contracting Officer. If the appointment is revoked for any reason before completion of this contract or if your FAC-COR certification is not maintained, you shall turn over all contract-related information in your possession, at the time of revocation, to the successor COR or make other dispositions as directed by the Contracting Officer. You may not transfer this appointment or any authority provided by it to a successor COR.

One of your duties as the appointed COR under this contract is to complete interim and final past performance assessments of the contractor's performance under this contract. As specified in the Department's Acquisition Policy Memorandum 2009-07 dated December 23, 2009, I propose the following schedule for the assessments. If you have any concerns with the proposed schedule, please contact me in writing providing any objections or comments on the schedule, and proposing an alternative schedule. In the event that I do not receive a response from you regarding the proposed schedule, the below schedule will become the agreed-on schedule documented in the official contract file.

PROPOSED SCHEDULE

(To be completed by the Contract Specialist/Contracting Officer issuing the COR appointment):

- Interim evaluations will be initiated by the Contract Specialist within 60 days following the end of each contract year. You as a COR have 30 days to complete the evaluation and return to the Contract Specialist.
- A final evaluation shall be initiated by the Contract Specialist within 60 days following the completion of the contract. You as COR have 30 days to complete the evaluation and return to the Contract Specialist.

At least one critical element in the CORs performance standards is specific to contract management and/or the duties described in this Contracting Officer's memorandum of appointment.

Please sign and return this memorandum to the Contracting Officer, and keep a copy for your own records.

I hereby acknowledge that I understand and agree to the terms and conditions of this appointment.

CONCURRENCE: _____ _____
[Print] CORs Name Date

_____
CORs Signature

CONCURRENCE: _____ _____
[Print] CORs Supervisor's Name Date

_____
CORs Supervisor's Signature

CONCURRENCE: _____ _____
[Print] Contracting Officer's Name Date

_____
Contracting Officer's Signature

Appendix F – FAC-COR Certification Action and Training Request Form

PART A – APPLICANT IDENTIFICATION

*Enter the **required** following information:*

Name (Last, First, Middle Initial) _____

E-mail Address _____ Phone _____ Fax _____

Organization Name _____

Organization Address _____

Title, Series, Grade _____

FAC-COR Certification Type:

❑ **Information Technology**
❑ **Construction**
❑ **Advanced Research and Development**
❑ **Other (Please Specify):** _____

PART B – CERTIFICATION ACTION TYPE

Indicate the type of certification action requested by checking the appropriate blocks. (NOTE: This form cannot be used to request certification through fulfillment or waiver – use the FAC-COR Certification through Fulfillment Form in Appendix H or the FAC-COR Waiver Request form in Appendix I.)

1. ❑ **Initial Certification**
   - ❑ FAC-COR Level I – Entry/Apprentice
   - ❑ FAC-COR Level II – Mid-level/Journeyman
   - ❑ FAC-COR Level III – Senior/Expert

2. ❑ **Recertification**
   - ❑ FAC-COR Level I – Entry/Apprentice
   - ❑ FAC-COR Level II – Mid-level/Journeyman
   - ❑ FAC-COR Level III – Senior/Expert

Previously held FAC-COTR □, FAC-C □, and/or FAC-P/PM □ certification(s) from another Federal agency *(Attach a copy of certification):*

- **Name of Agency:**_____
- **Date Certification Issued:**_____

PART C – INITIAL CERTIFICATION TRAINING

NOTE: Course title, date(s), and training sponsor are required for each minimum core training area listed below (including professional certification where applicable).

❑ Professional Training Profile for FAC-COR **Level I** (certification/documentation attached):

Minimum Basic Core Training:

- 16 hours Appropriations Law Training
- 08 hours Contracting Officer's Representative Training
- StaffDiv/OPDIV specific training (e.g., invoice processing, green procurement)

_____	_____
(Course /Activity name)	(Date completed)
_____	_____
(Course /Activity name)	(Date completed)
_____	_____
(Course /Activity name)	(Date completed)

❑ Professional Training Profile for FAC-COR **Level II** (certification/documentation attached):

Minimum Intermediate Core Training:

- 40 hours Contracting Officer's Representative Training
- 16 hours Appropriations Law Training
- 1 Acquisition-Related Elective
- StaffDiv/OPDIV specific training (e.g., invoice processing, green procurement)

_____	_____
(Course /Activity name)	(Date completed)
_____	_____
(Course /Activity name)	(Date completed)
_____	_____
(Course /Activity name)	(Date completed)

❑ Professional Training Profile for FAC-COR **Level III** (certification/documentation attached):

Minimum Advanced Core Training:

- 40 hours Contracting Officer's Representative Training
- 16 hours Appropriations Law Training

- 16 hours Introduction to Project/Program Management Training
- 08 hours EVM and Cost Estimating Training
- 08 hours Risk Management Training
- 08 hours IT, Construction, or R&D Acquisition Training

_____	_____
(Course /Activity name)	(Date completed)
_____	_____
(Course /Activity name)	(Date completed)
_____	_____
(Course /Activity name)	(Date completed)

PART D – RECERTIFICATION TRAINING

❑ Recertification Training for FAC-COR **Level I** (at least 16 hours)
(certification/documentation attached):

Training Requirements

- 1 day Contracting Officer's Representative Refresher Training
- Appropriations Law Refresher Training
- 1 Acquisition-related elective

_____	_____
(Course /Activity name)	(Date completed)
_____	_____
(Course /Activity name)	(Date completed)
_____	_____
(Course /Activity name)	(Date completed)

❑ Recertification Training for FAC-COR **Level II** (at least 40 hours)
(certification/documentation attached):

Training Requirements:

- 1 day Contracting Officer's Representative Refresher Training
- Appropriations Law Refresher Training
- 1 Acquisition-related elective
- 1 Contracting course elective

_____	_____
(Course /Activity name)	(Date completed)
_____	_____
(Course /Activity name)	(Date completed)
_____	_____
(Course /Activity name)	(Date completed)

❑ Recertification Training for FAC-COR **Level III** (at least 80 hours)
(certification/documentation attached):

Training Requirements:

- 1 day Contracting Officer's Representative Refresher Training
- Appropriations Law Refresher Training
- 1 Acquisition-related elective
- 1 Contracting course elective
- 1 Ethics and Fraud Awareness Course

_____	_____
(Course /Activity name)	(Date completed)
_____	_____
(Course /Activity name)	(Date completed)
_____	_____
(Course /Activity name)	(Date completed)

PART E – INFORMATION SUPPORTING THE CERTIFICATION ACTION

Indicate, by checking the appropriate blocks, the information completed and provided as attachments to support the certification action request:

❑ Appendix G – Federal Acquisition Certification – Contracting Officer's Representative – Functional Experience Transcript Form, (include copies of certificates, diplomas, transcripts, or other forms of experience and training documentation) (Required for FAC-COR Levels II and III)

❑ Copy of current FAC-COR certification

❑ Copy of other types of certifications currently held:

❑ FAC-C ❑ FAC-P/PM ❑ Other (specify): _____

PART F – SIGNATURES

1. Applicant's certification (Levels I, II, and III):

I certify that the information provided is accurate, current, complete, and fully supports the certification action request.

Applicant's signature _____Date_____

2. Immediate supervisor's concurrence/non-concurrence (Levels I, II, and III):

I have reviewed and discussed with **[applicant's name]** the certification action request and the information provided in support thereof. Based on pertinent job performance (if any), a critical element in the applicants performance standards, and the information provided, I

❑ concur with the certification action ❑ do not concur with the certification action

❑ Rationale for non-concurrence, if applicable:

_____

_____

Typed or printed name _____

Signature _____ Date _____

3. STAFFDIV/OPDIV Acquisition Career Manager concurrence/non-concurrence (Levels I, II, and III):

I have reviewed the certification action request and the information provided in support thereof. Based on the information provided, I

❑ concur with the certification action ❑ do not concur with the certification action

❑ Rationale for non-concurrence, if applicable:

_____

_____

Typed or printed name _____

Signature _____ Date _____

Appendix G – FAC-COR Functional Experience Transcript Form
(Required for FAC-COR Levels II and III)

PART A – APPLICANT IDENTIFICATION

*Enter the **required** following information:*

Name (Last, First, Middle Initial) _____

E-mail Address _____ Phone _____ Fax _____

Organization Name _____

Organization Address _____

Title, Series, Grade _____

What type(s) of contract(s)/project(s) are you managing?

- ❑ **Information Technology**
- ❑ **Construction**
- ❑ **Advanced Research and Development**
- ❑ **Other (Please Specify):** _____

- ❑ **I am applying for FAC-COR Level II**
- ❑ **I am applying for FAC-COR Level III**

PART B – EXPERIENCE

Please provide employment dates, agency/firm, position title, years of experience, and accomplishment narratives for each competency listed below. FAC-COR Level II requires at least 1 year of COR experience within the last 4 years. FAC-COR Level III requires at least 2 years of COR experience on federal projects within the last 4 years.

General Business Qualifications

Professional Experience Profile for FAC-COR Qualifications:

❑ FAC-COR Level II: My experience includes at least 1 year of COR experience within the last 4 years. My knowledge and abilities applicable to Level II competencies are described in the narratives below.

❑ FAC-COR Level III: My experience includes at least **2** years of COR experience within the last 4 years on federal projects. My knowledge and abilities applicable to Level II competencies are described in the narratives below.

Competency 1: Attention to detail, decision-making, flexibility, influencing/negotiating, integrity/honesty, interpersonal skills, oral communication, planning and evaluating, problem solving, project management, reasoning, self-management, teamwork, and writing.

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to the competency stated above:

Competency 2: Acquisition Planning

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to the competency stated above:

Competency 3: Market Research

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to the competency stated above:

Competency 4: Defining Government Requirements in Commercial/Non-Commercial Terms

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to the competency stated above:

Competency 5: Effective Pre-Award Communication

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to the competency stated above:

Competency 6: Technical Analysis of Proposals

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to the competency stated above:

Competency 7: Negotiation

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to the competency stated above:

Competency 8: Effective Contract Management

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to the competency stated above:

Competency 9: Performance Management

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to the competency stated above:

If you are applying for **FAC-COR Level III**, please address the additional competencies below:

Competency 10: Constructing a Work Breakdown Structure

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to the competency stated above:

Competency 11: Preparing Project Analysis Documents

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to the competency stated above:

Competency 12: Tailoring Acquisition Documents

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to the competency stated above:

Competency 13: Analyzing and/or Developing Requirements

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to the competency stated above:

Competency 14: Monitoring Performance

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to the competency stated above:

Competency 15: Assisting with Quality Assurance

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to the competency stated above:

Competency 16: Budget Development

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to the competency stated above:

PART C – SIGNATURE

I certify that the information provided is accurate, current, complete, and fully supports the certification action request.

Applicant's signature _____Date_____

Appendix H – FAC-COR Certification through Fulfillment Form

PART A – APPLICANT IDENTIFICATION

*Enter the **required** following information:*

Name (Last, First, Middle Initial) _____

E-mail Address _____ Phone _____ Fax _____

Organization Name _____

Organization Address _____

Title, Series, Grade _____

What type(s) of contract(s)/project(s) are you managing?

- ❑ **Information Technology**
- ❑ **Construction**
- ❑ **Advanced Research and Development**
- ❑ **Other (Please Specify):** _____

FAC-COR is a competency-based program, requiring those who seek certification to demonstrate satisfactory proficiency in the required competencies. Fulfillment applies only to initial certification. Individuals who have served in the COTR role and participated in COTR training previous to the HHS FAC-COR program may seek recognition for fulfillment of the FAC-COR requirements and demonstrate their proficiency by completing this fulfillment request.

- ❑ **I am applying for FAC-COR Level I Certification through Fulfillment**
- ❑ **I am applying for FAC-COR Level II Certification through Fulfillment**
- ❑ **I am applying for FAC-COR Level III Certification through Fulfillment**

PART B– EXPERIENCE

Complete the tables below, demonstrating your proficiency in each general business competency and each technical contracting competency and aligned skill. You may attach other documents that demonstrate proficiency in the competencies. A detailed explanation of these competencies can be found at (http://www.fai.gov/acm/cotrcomp.asp).

Please provide employment dates, agency/firm, position title, years of experience for each competency listed below, and accomplishment narratives (as applicable for General Business Competencies and Technical Contracting Competencies).

General Business Competency Qualifications

GB Competency 1: Attention to Detail

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to your ability to thoroughly perform work and be conscientious about attending to detail.

GB Competency 2: Decision-Making

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to making sound, well informed, and objective decisions; perceiving the impact and implications of decisions; committing to action, even in uncertain situations, to accomplish organizational goals; and managing change.

GB Competency 3: Flexibility

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to being open to change and new information; adapting behavior or work methods in response to new information, changing conditions, or unexpected obstacles; and the ability to effectively deal with ambiguity.

GB Competency 4: Influencing/Negotiating

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to persuading others to accept recommendations, cooperate, or change their behavior; working with others towards an agreement; and negotiating to find mutually acceptable solutions.

GB Competency 5: Integrity/Honesty

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to contributing to the integrity of the organization; displaying high standards of ethical conduct and understanding the impact of violating these standards on an organization, self, and others; and trustworthiness.

GB Competency 6: Interpersonal Skills

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to showing understanding, courtesy, tact, empathy; developing and maintaining relationships; dealing with difficult people; relating well to people from varied backgrounds; and sensitivity to individual differences.

GB Competency 7: Oral Communication

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to expressing information to individuals or groups effectively, taking into account the audience and nature of the information; making clear and convincing presentations; listening to others; and attending to nonverbal cues.

GB Competency 8: Planning and Evaluating

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to organizing work, setting priorities, and determining resource requirements; determining goals and strategies; coordinating with other organizations; monitoring progress; and evaluating outcomes.

GB Competency 9: Problem Solving

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to identifying problems; determining accuracy and relevance of information; using sound judgment to generate and evaluate alternatives; and making recommendations.

GB Competency 10: Project Management

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to developing and maintaining a workable plan and managing resources to accomplish the overall goal of the project; ensuring the smooth flow and timely completion of activities that deliver project results; anticipating obstacles or gaps that would impact project success; and working to continuously improve the agency's capability to achieve success.

GB Competency 11: Reasoning

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to identifying rules, principles, or relationships that explain facts, data or other information; and analyzing information and making correct inferences or accurate conclusions.

GB Competency 12: Self-Management/Initiative

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to setting well-defined and realistic personal goals; displaying a high level of initiative, effort, and commitment towards completing assignments in a timely manner; working with minimal supervision; being motivated to achieve; and demonstrating responsible behavior.

GB Competency 13: Teamwork

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to encouraging and facilitating cooperation, pride, and trust; fostering commitment; and working with others to achieve goals.

GB Competency 14: Writing

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to recognizing and using correct English grammar, punctuation, and spelling; communicating information in a succinct and organized manner; and producing written information that is appropriate for the intended audience.

Technical Contracting Competencies

TC Competency 1: Acquisition Planning

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to: documenting the source; methods of payment; contract financing; unpriced contracts; recurring requirements; pricing arrangements; compliance with FAR requirements; determining need for EVM; task and delivery order contracting; and strategic planning . Be sure to include performance achieved and project cost, duration, scope and results – as applicable:

TC Competency 2: Market Research

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to: understanding the marketplace; and collecting source information. Be sure to include performance achieved and project cost, duration, scope and results – as applicable:

TC Competency 3: Defining Government Requirements in Commercial/Non-Commercial Terms

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to: writing statements of work; conducting needs analysis and preparing requirements; and assisting in the development of the acquisition strategy. Be sure to include performance achieved and project cost, duration, scope and results – as applicable:

TC Competency 4: Effective Pre-Award Communication

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to: publicizing proposed acquisitions; subcontracting requirements; solicitation preparation; pre-quote, pre-bid, and pre-proposal conferences; and amending/cancelling solicitations. Be sure to include performance achieved and project cost, duration, scope and results – as applicable:

TC Competency 5: Technical Analysis of Proposals

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to: evaluating non-price factors; pricing information from offerors; and evaluation documentation. Be sure to include performance achieved and project cost, duration, scope and results – as applicable:

TC Competency 6: Negotiation

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to: negotiation strategy; conducting discussion and negotiations; and determining capability. Be sure to include performance achieved and project cost, duration, scope and results – as applicable:

TC Competency 7: Effective Contract Management

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to: contract administration planning and orientations; contract modifications and adjustments; order management, and monitoring contractor performance. Be sure to include performance achieved and project cost, duration, scope and results – as applicable:

TC Competency 8: Performance Management

- Employment dates:
- Agency/Firm:
- Position Title:
- Years of Experience (relating to this competency):
- Briefly describe your experience relating to: performance metrics; performance management; financial management; contract reporting; inspection and acceptance; and specialized requirements. Be sure to include performance achieved and project cost, duration, scope and results – as applicable:

PART C – SIGNATURES

1. Applicant's certification (Levels I, II, and III):

I certify that the information provided is accurate, current, complete, and fully supports the certification action request.

Applicant's signature _____Date_____

2. Immediate supervisor's concurrence/non-concurrence (Levels I, II, and III):

I have reviewed and discussed with **[applicant's name]** the certification through fulfillment request and the information provided in support thereof. Based on pertinent job performance (if any) and the information provided, I

❑ concur with the certification action ❑ do not concur with the certification action

❑ Rationale for non-concurrence, if applicable:

_____

_____

Typed or printed name _____

Signature _____ Date _____

3. STAFFDIV/OPDIV Acquisition Career Manager concurrence/non-concurrence (Levels I, II, and III):

I have reviewed the certification action request and the information provided in support thereof. Based on the information provided, I

❑ concur with the certification action ❑ do not concur with the certification action

❑ Rationale for non-concurrence, if applicable:

_____

_____

Typed or printed name _____

Signature _____ Date _____

Privacy Act Notice: FAC-COR Certification is required for HHS employees that have been or will be delegated authority, by a Contracting Officer, to serve as a COR. Acquisition Career Managers (ACMs) must collect general as well as prescribed training data for this certification program. The legal authority for this data collection is Section 5 U.S.C. Chapter 41. The data will be included in a Departmental database on an HHS intranet website, which will include the first name, last name, and certification expiration date for FAC-COR certified personnel. HHS' routine uses for the information are provided in System of Records No. 09-90-0018, which is available at http://hhsstage.cit.nih.gov/foia/privacy/recordsnotices/09900018.html. Failure to provide the requested information may result in a denial of an individual's request for FAC-COR certification.

Appendix I – FAC-COR Certification Waiver Request Form

PART A – APPLICANT IDENTIFICATION

*Enter the **required** following information:*

Name (Last, First, Middle Initial) _____

E-mail Address _____ Phone _____ Fax _____

Organization Name _____

Organization Address _____

Title, Series, Grade _____

What type(s) of contract(s)/project(s) will you be managing?

❑ **Information Technology**
❑ **Construction**
❑ **Advanced Research and Development**
❑ **Other (Please Specify):** _____

❑ **I am applying for FAC-COR Level I Waiver**
❑ **I am applying for FAC-COR Level II Waiver**
❑ **I am applying for FAC-COR Level III Waiver**

Previously held FAC-COTR □, FAC-C □, and/or FAC-P/PM □ certification(s) from another Federal agency *(Attach a copy of certification):*

- **Name of Agency:**_____
- **Date Certification Issued:**_____

PART B – WAIVER REQUEST TYPE

Indicate the type of waiver requested by checking the appropriate blocks:

1. ❑ Up to 6 months – enter waiver period requested: _____
   ❑ Level I ❑ Level II ❑ Level III

2. ❑ Up to 1 year – enter waiver period requested: _____
   ❑ Level I ❑ Level II ❑ Level III

PART C – RATIONALE FOR NOT ACHIEVING CERTIFICATION

Explain fully why you do not meet the certification requirements or why you cannot submit the required application for certification. Please detail what actions you have taken to achieve certification after being assigned to an applicable project or program. Attach additional sheets, if necessary.

_____
_____
_____
_____

PART D – PLAN TO ACHIEVE CERTIFICATION REQUIREMENTS

Provide details of how you plan to meet or document the achievement of certification requirements within the waiver period requested. Indicate the date that you expect to achieve each certification. Attach additional sheets, if necessary.

_____
_____
_____
_____

PART E – SIGNATURES

1. Applicant's certification:

I certify that the information provided is accurate, current, complete, and fully supports the waiver action requested.

Applicant's signature _____Date_____

2. Immediate supervisor's concurrence/non-concurrence:

I have reviewed and discussed with [applicant's name] the waiver request and the information provided in support thereof. Based on the information provided, I

❑ concur with the waiver request ❑ do not concur with the waiver request
❑ Rationale for non-concurrence, if applicable:

_____
_____

Typed or printed name _____
Signature _____ Date _____

3. STAFFDIV/OPDIV Acquisition Career Manager concurrence/non-concurrence:

I have reviewed the waiver request and the information provided in support thereof. Based on the information provided, I

❑ concur with the waiver request ❑ do not concur with the waiver request
❑ Rationale for non-concurrence, if applicable:

_____

_____

Typed or printed name _____
Signature _____ Date _____

4. STAFFDIV/OPDIV Executive Officer concurrence/non-concurrence:

I have reviewed the waiver request and the information provided in support thereof. Based on the information provided, I

❑ concur with the waiver request ❑ do not concur with the waiver request
❑ Rationale for non-concurrence, if applicable:

_____

_____

Typed or printed name _____
Signature _____ Date _____

5. Departmental Acquisition Career Manager Review & Tracking:

❑ I have reviewed this waiver request and the information provided in support thereof.

Typed or printed name _____Judith Button_____
Signature _____ Date _____

6. HHS Senior Procurement Executive (SPE) concurrence/non-concurrence:

❑ I approve the waiver request ❑ I do not approve the waiver request
❑ Rationale for disapproval, if applicable:

_____

_____

Typed or printed name of SPE: __Angela Billups, Ph.D._____
Signature _____ Date _____