

# **DEPARTMENT OF HEALTH AND HUMAN SERVICES**

## **CONTRACTING WORKFORCE TRAINING AND CERTIFICATION HANDBOOK**



**Issued by**

**Office of the Secretary**

**Office of Grants and Acquisition Policy and Accountability**

**Division of Acquisition**

**Office of Acquisition Policy**

**JUNE 2010**

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# CHAPTER 1—IMPLEMENTATION OF THE DEPARTMENT OF HEALTH AND HUMAN SERVICES CONTRACTING WORKFORCE TRAINING AND CERTIFICATION PROGRAMS

## A. Background

In order to attract, select, develop, and retain a highly qualified workforce capable of performing Department of Health and Human Services (HHS) contracting functions, personnel who award contracts and orders are supported by rigorous standards in three areas: qualifications for entry and promotion within the GS-1102 personnel classification series; a certification program based on education, training, experience, and competencies; and requirements for delegation of Contracting Officer authority that are linked to the certification program. Collectively, these standards form the HHS acquisition career management program.

The purpose of this handbook is to provide procedural guidance to support the implementation of these standards, as authorized by the Clinger-Cohen Act, [Office of Federal Procurement Policy \(OFPP\) Policy Letter 05-01](#), [OFPP Policy Memorandum, dated January 20, 2006](#), the HHS Acquisition Regulation (HHSAR), the Federal Acquisition Regulation (FAR), and other government-wide guidelines and policies used to foster a professional contracting workforce.

## B. Authorities

The following statutes, regulations, and policies provide authority for the guidance in this handbook:

- HHS Assistant Secretary for Administration and Management Memorandum, “*Definition of HHS’ Acquisition Workforce*,” dated December 2, 2008. <http://www.hhs.gov/oampasammemorandum12/policies/-02-2008.doc>
- OFPP Memorandum, “*The Federal Acquisition Certification in Contracting Program*,” dated January 20, 2006, available at [http://www.whitehouse.gov/omb/procurement/acq\\_wk/fac\\_contracting\\_program.pdf](http://www.whitehouse.gov/omb/procurement/acq_wk/fac_contracting_program.pdf).

- OFPP Policy Letter 05-01, “*Developing and Managing the Acquisition Workforce*,” dated April 15, 2005.  
[http://www.whitehouse.gov/omb/procurement\\_policy\\_letter\\_05-01/](http://www.whitehouse.gov/omb/procurement_policy_letter_05-01/)
- Office of Personnel Management, *Qualification Standard for GS-1102 Contracting Positions*, January 2000, available at  
<http://www.opm.gov/qualifications/sec-iv/b/gs1100/1102.htm>.
- Office of Personnel Management, “*Questions and Answers Concerning the Revised GS-1102 Qualification Standard*”, available at  
<http://www.opm.gov/qualifications/1102QAs.htm>.
- Clinger- Cohen Act, 1996, Public Law 104-106
- OFPP Act (41 U.S.C. §401, et seq.)

### **C. Applicability**

The coverage in this handbook applies to personnel in the GS-1102, GS-1105, and GS-1106 series, and, as applicable, to HHS personnel in other occupational series requiring Contracting Officer warrants.

### **D. Governance**

The Department-level Acquisition Career Manager for Contracting (HHS ACM), who is an employee within the Assistant Secretary for Financial Resources/Office of Grants and Acquisition Policy and Accountability, Division of Acquisition (ASFR/OGAPA/DA), is responsible for administering the Department’s contracting workforce training and certification programs and ensuring that the Department’s contracting workforce members meet the requirements of OFPP Policy Letter 05-01. Each Operating Division (OPDIV) has its own OPDIV Acquisition Career Manager (OPDIV ACM) who is responsible for ensuring that the OPDIV’s contracting workforce members meet these requirements<sup>1</sup>.

OPDIVs may issue supplemental guidance for selection and assignment of Contract Specialists and Contracting Officers and require additional skills and competencies to meet organizational or mission needs. However, OPDIVs may not reduce the requirements specified herein.

### **E. Recordkeeping**

Employees who have completed training are responsible for keeping all training certificates for their records. The employee is responsible for entering this data in the Acquisition Career Management Information System (ACMIS) (or its successor system), the

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<sup>1</sup> For purposes of this Handbook, the Program Support Center (PSC) is considered an OPDIV

Government-wide information system managed by the Federal Acquisition Institute, that contains education, training, and experience information for all acquisition workforce members.

## **F. Acronyms**

ACM - Acquisition Career Manager

ACMIS - Acquisition Career Management Information System

ASFR – Assistant Secretary for Financial Resources

CAO - Chief Acquisition Officer

CLP - continuous learning points

DAU - Defense Acquisition University

DAWIA - Defense Acquisition Workforce Improvement Act of 1990

DoD - Department of Defense

FAC-C - Federal Acquisition Certification in Contracting

FAI - Federal Acquisition Institute

FAR - Federal Acquisition Regulation

HCA - Head of the Contracting Activity

HHS - Department of Health and Human Services

HHSAR - U.S. Department of Health and Human Service Acquisition Regulation

IDP - Individual Development Plan

IT - information technology

NIH - National Institutes of Health

OGAPA – Office of Grants and Acquisition Policy and Accountability (under ASFR)

OFPP - Office of Federal Procurement Policy

OPDIV - Operating Division

OPM - Office of Personnel Management

SAC - HHS' Simplified Acquisition Certification

SPE - Senior Procurement Executive

# CHAPTER 2—GS-1102 QUALIFICATION STANDARD

## A. GS-1102 Qualification Standard

As a result of the Clinger-Cohen Act, Public Law 104-106, the Administrator of OFPP was given responsibility for establishing a GS-1102 qualification standard for contracting workforce positions in civilian agencies. On January 1, 2000, OPM, working with OFPP, issued a new qualification standard for GS-1102 contracting positions in civilian agencies.

This standard, which is comparable to those established for DoD positions in 1990 by the Defense Acquisition Workforce Improvement Act (DAWIA), is stated below (also see the OPM website <http://www.opm.gov/qualifications/standards/IOs/gs1100/1102.htm>).

### ***Basic Requirements for GS-5 through GS-12***

- A. A 4-year course of study leading to a bachelor's degree with a major in any field;

**Or**

- B. At least 24 semester hours in any combination of the following fields: accounting, business, finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, or organization and management.

Applicants who meet the criteria for Superior Academic Achievement qualify for positions at the GS-7 level.

Above the GS-5 level, specialized experience is required. In some cases, additional educational achievements can be substituted for specialized experience. The following table shows the amounts of education and/or experience required to qualify for positions GS-7 through GS-12 covered by this standard.



<b>Grade</b>	<b>Education</b>	<b>Specialized Experience</b>
<b>GS-7</b>	1 full academic year of graduate education <sup>2</sup> or law school or superior academic achievement	1 year equivalent to at least GS-5
<b>GS-9</b>	2 full academic years of progressively higher level graduate education or masters or equivalent graduate degree or LL.B. or J.D.	1 year equivalent to at least GS-7
<b>GS-11</b>	3 full academic years of progressively higher level graduate education or Ph.D. or equivalent doctoral degree	1 year equivalent to at least GS-9
<b>GS-12 and above</b>	(No educational equivalent)	1 year equivalent to at least next lower grade level
<b>Equivalent combinations of education and experience are qualifying for all grade levels for which both education and experience are acceptable. For example, an applicant with 6 months of graduate school and six months of specialized experience would qualify for a GS-7 position.</b>		

Note: For positions at GS-7 through GS-12, applicants who are qualifying based on experience must possess at least 1 year of specialized experience that provided the knowledge, skills, and abilities to perform successfully the work of the position at or equivalent to work at the next lower level, in addition to meeting the basic requirements in Paragraph A or B, above.

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<sup>2</sup> Graduate Education. To qualify for GS-1102 positions on the basis of graduate education, graduate education in one or a combination of the following fields is required: accounting, business, finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, or organization and management.

- C. Exceptions: Employees in GS-1102 positions will be considered to have met the standard for positions they occupy on January 1, 2000. Employees who occupy GS-1102 positions at grades 5 through 12 will be considered to meet the basic requirements for other GS-1102 positions up to and including those classified at GS-12. This includes positions at other agencies and promotions up through grade 12. However, employees must meet specialized experience requirements when seeking another position.

### **Basic Requirements for GS-13 and Above**

- A. Completion of all mandatory training for progression to GS-13 or higher-level contracting positions, including at least 4 years of experience in contracting or related positions. At least 1 year of that experience must have been specialized experience at or equivalent to work at the next lower level of the position, and must have provided the knowledge, skills, and abilities to perform successfully the work of the position.

### **And**

- B. A 4-year course of study leading to a bachelor's degree, that included or was supplemented by at least 24 semester hours in any combination of the following fields: accounting, business, finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, or organization and management.
- C. Exceptions: Employees in GS-1102 positions will be considered to have met the standard for positions they occupy on January 1, 2000. This also applies to other positions at the same grade in the same agency or other agencies if the specialized experience requirements are met. However, they will have to meet the basic requirements and specialized experience requirements in order to qualify for promotion to a higher grade, unless granted a waiver.
- D. Waiver: When filling a specific vacant position, the Senior Procurement Executive (SPE), at his or her discretion, may waive any or all of the requirements of Paragraphs A and B above if the SPE certifies that the applicant possesses significant potential for advancement to levels of greater responsibility and authority, based on demonstrated analytical and decision making capabilities, job performance, and qualifying experience. With respect to each waiver granted under this Paragraph D, the SPE must document for the record the basis of the waiver. If an individual is placed in a position on the basis of a waiver, HHS may later reassign that individual to another position at the same grade without additional waiver action.

All individuals hired after January 1, 2000, are required to meet the requirements of the GS-1102 qualification standard in order to qualify for entry into the GS-1102 series or for a promotion. All employees, regardless of their status prior to or on January 1, 2000,

are required to meet the requirements of the GS-1102 series in order to qualify for promotions at the GS-13 level or above.

## **B. Recruitment**

(a) Competitive recruitments to fill GS-1102 Grade 13 and above positions require validation that educational requirements have been met, or must receive a waiver from the SPE as provided in paragraph C. below. In order that the recruitment process can move forward without delays, the OPDIV must work with its human resource management office to ensure that essentially the following text concerning transcripts is incorporated into all vacancy announcements for GS-1102 Grade 13 or above positions:

All applicants must submit a copy of their transcripts to be considered for this position. Unofficial copies are acceptable at the application phase; however, you will be required to provide official transcripts upon entry on duty. Without your transcripts, we will be unable to consider you for this position.

Inclusion of this text will help ensure that otherwise qualified candidates can be considered even if there is a delay in obtaining an official transcript.

(b) If an OPDIV determines when recruiting that it will consider applicants applying for a GS-1102 vacancy for a Grade 13 or higher for a waiver, the OPDIV must work with its human resource management office to ensure that the vacancy announcement incorporates essentially the following language notifying potential candidates that waivers will be considered.

The SPE may waive any or all of the educational requirements cited in this announcement, if such waiver is determined to be in the best interest of HHS

Prior to their release, the HCA must approve vacancy announcements containing text stating that educational requirements may be waived.

## **C. Waiver of the Educational Requirements**

### **(1) Waiver Policy**

- (a) The GS-1102 qualification standard provides only for waivers of educational requirements for positions at the GS-13 level and above. The GS-1102 qualification standard does not provide for any waivers to the educational requirements for positions at the GS-5 through GS-12 levels.
- (b) Whether through competitive hiring or a non-competitive process (e.g., accretion of duties review), the HHS Senior Procurement Executive (SPE) (non-delegable) is the approving official for waivers of the educational requirements for the GS-1102 series. The SPE will only approve waivers for GS-13 and above positions when:
  - (i) it will take the individual no more than 5 years to complete a 4-year course of study leading to a bachelor's degree at an accredited college or university that includes or is supplemented by at least 24 semester hours of business or business-related courses ("conditional" waiver),  

- OR -
  - (ii) an individual has demonstrated continuous, exceptional performance; e.g., more than 20 years of exemplary experience in contracting ("unconditional" waiver).
- (c) No offer may be extended to a selected candidate until the waiver is approved by the SPE.

### **(2) Waiver Procedures**

- (a) If the selecting official considers an applicant who does not meet the qualification standard to be the best candidate for the position, the selecting official must seek a waiver from the SPE for that applicant from the pertinent requirement(s) of the qualification standard. The waiver request must consist of a cover memorandum from the HCA recommending that the SPE approve the waiver in writing. The cover memorandum must contain the following information:
  - (i) A description of the position, location, and grade. See Chapter 5, Paragraph F, Waivers to Warrant Standards, for information on the separate waiver required for issuance of a delegation of Contracting Officer authority when educational requirements are not met.
  - (ii) A description of the recruiting efforts and the results of those efforts, including the sources used for recruiting (not required for a career ladder promotion).

- (iii) A description of the unique staffing situation (such as a position that is difficult to fill, duty location where it is difficult to attract qualified candidates, or when a candidate who has fully satisfactory or better experience in contracting fails to meet the basic educational requirements and is considered by the selecting official as the best candidate for the job).
  - (iv) A justification for the waiver, including, if applicable, a description of why the individual was selected in place of any candidate who fully meets the educational requirement.
  - (v) The impact of disapproval of the waiver on the organization.
  - (vi) The candidate's planned efforts to meet the educational requirement and the estimated time frame for completion of the standard.
- (b) In addition, the following documentation must be provided with the memorandum:
- (i) A copy of the previously approved vacancy announcement. (This is not required when considering a career ladder promotion or accretion of duties action.)
  - (ii) The selected individual's resume or application, as well as a narrative from the selecting official describing the potential of the applicant for advancement to levels of greater responsibility based on analytical and decision-making capabilities, job performance, and qualifying experience.
  - (iii) A copy of the candidate's college transcripts, if any.
  - (iv) For a candidate who is not an HHS employee, a statement, signed by the selecting official and the anticipated selectee showing a time line for achieving the educational requirements of Paragraph B of the OPM qualification standard.
  - (v) For a candidate who is already an HHS employee, a completed copy of the "Request for Waiver to the GS-1102 Qualification Standard Application Form," in Appendix A. The employee and his or her supervisor must sign an Individual Development Plan (IDP) that specifies: the requirements (number of college credits to be earned and courses scheduled for each year) remaining to satisfy the educational requirements, when and how the requirements will be met, and the consequences if the requirements are not met. The IDP must be approved by the HCA before it is forwarded to the SPE as a part of the waiver request package.

(c) All waiver request packages must be submitted by the HCA to:

Department of Health and Human Services  
Deputy Assistant Secretary  
Grants and Acquisition Policy and Accountability  
Attn: Acquisition Career Manager for Contracting  
200 Independence Avenue, S.W.  
Mail Stop 537H  
Washington, D.C. 20201

(d) If a waiver is approved, the waiver and a copy of the employee's IDP must be included in the employee's Official Personnel File and the HCA's educational requirements waiver file.

(e) Requirements After Initial Approval of A Waiver

(i) Once a waiver is approved, the employee must complete the memorandum shown in Appendix B, "Status Update on Compliance with Educational Waiver Requirements," by July 1 of each year and e-mail it, along with his or her college transcript(s) for the preceding academic year, through his/her OPDIV ACM and HCA to the HHS ACM for Contracting, specifying:

- the courses taken and the number of credits earned,
- credits/classes scheduled to complete the educational requirements, and
- the exact date he or she expects to complete the educational requirements.

(ii) Failure to fulfill the condition of employment and to submit Appendix B by July 1 of each year to the HHS ACM for Contracting may result, with the SPE's approval, in a revocation of the waiver. Also, for an employee who was hired from another HHS position, it may result in a return to the grade and series held prior to promotion and, if appropriate, the warrant authority held prior to promotion. If a new employee, it may result in release from employment during the probation period.

(iii) If an individual is placed in a position on the basis of a waiver, HHS may later reassign that individual to another position at the same grade within the Department without additional waiver action.

# CHAPTER 3—ACQUISITION CERTIFICATION PROGRAMS

## A. Federal Acquisition Certification in Contracting

### (1) Background

The Federal Acquisition Institute (FAI), in consultation with OFPP and OPM, developed the Federal Acquisition Certification in Contracting (FAC-C) program to implement for civilian agencies the GS-1102 qualification standard, promote the development of core contracting competencies for all contracting personnel government-wide, and facilitate employee career mobility. OFPP Policy Letter 05-01, entitled “Developing and Managing the Acquisition Workforce,” dated April 15, 2005, and further guidance issued under the OMB memorandum dated January 20, 2006, established the framework for the FAC-C program. OFPP’s vision for the federal contracting workforce (civilian and defense) is the development of common certification programs that reflect a government-wide standard and establishment of a framework to demonstrate that employees meet the core education, training, and experience requirements, as appropriate, for their contracting positions. The FAC-C program mirrors the requirements that the Department of Defense (DoD) established for its contracting workforce under the Defense Acquisition Workforce Improvement Act (DAWIA.) The education, training, and experience standards for each level of certification must be met to qualify for certification at the level under consideration.

### (2) Applicability

In accordance with OFPP Memorandum, “*The Federal Acquisition Certification in Contracting Program*,” dated January 20, 2006, the FAC-C certification program is available to all members of the federal civilian acquisition workforce. While FAC-C certification is a condition of eligibility for a delegation of Contracting Officer authority, it is not mandatory for all GS-1102s. Effective January 1, 2007, only new warrant holders or those individuals seeking an increase in warrant authority must be FAC-C certified at the appropriate level. However, it is HHS policy that all contracting personnel must meet the continuing learning requirements as set forth in this chapter. Priority for training resources to fulfill FAC-C requirements will be as follows:

- All warranted COs in the GS-1102 contracting series and Public Health Service Commissioned Corps personnel in comparable positions;
- All warranted COs regardless of General Schedule series with authority to obligate funds above the micro-purchase threshold;

- Other GS-1102s;
- Other eligible individuals.

### **(3) Responsibilities**

#### **Senior Procurement Executive**

The SPE (non-delegable) is the official responsible for overseeing the HHS FAC-C program and resolving disputes.

#### **HHS Acquisition Career Manager for Contracting**

The HHS ACM for Contracting is responsible for administering and overseeing the HHS FAC-C certification program, and has been delegated the authority to issue FAC-C certifications. The HHS ACM for Contracting serves on FAI's Interagency Acquisition Career Management Committee (IACMC) to ensure that Department's acquisition workforce planning and development needs are met.

#### **Head of the Contracting Activity**

The HCA reviews and concurs on FAC-C application packages before the OPDIV ACM forwards them with recommendations to the HHS ACM for Contracting.

#### **OPDIV Acquisition Career Manager**

The OPDIV ACM oversees the FAC-C program for the OPDIV. The OPDIV ACM obtains the concurrence of the HCA on FAC-C packages for certifications and waivers, and forwards them with a recommendation to the HHS ACM for Contracting.

### **(4) Core Contracting Competencies**

In partnership with OFPP, FAI has identified competencies that are specific to the contracting workforce as part of the FAC-C program.

FAI defines competencies as “observable, measurable patterns of skills, knowledge, abilities, behaviors, and other characteristics that an individual needs to perform in occupational functions.” Although DoD and civilian agencies retain responsibility for managing their respective workforces, the establishment of core contracting competencies ensures that the contracting community develops common skills. The current core contracting competencies for the GS-1102 workforce are maintained on the FAI website (<http://www.fai.gov/pdfs/Contracting-Competencies.pdf>) and are divided into general business and technical subcategories. These core contracting competencies are periodically updated, expanded, or otherwise modified to meet contracting workforce requirements, and specialized competencies may be developed to support emerging trends in the Government's acquisition practices. OFPP, DoD, and OPM have established a competency management process to ensure that the core competencies



remain relevant and current and are integrated into the FAC-C program, as appropriate.

General business competencies apply to many situations that members of the contracting workforce use while performing acquisition tasks. Examples of general business competencies include effective communication customer service, and problem solving. Technical competencies are specific to the job functions of the contracting workforce. Many of the technical competencies describe specific knowledge, skills, and abilities, and some of these technical competencies may not apply to certain aspects of Contract Specialists' work.

The assessment of an employee's ability to meet core contracting competencies must be used in screening or selecting candidates for positions, assisting the employee and the employee's supervisor in creating an IDP, identifying areas where training and special assignments will benefit the employee and HHS, and supporting overall workforce management. This assessment will allow the employee and supervisor to develop an IDP to close gaps in competencies and will help the employee to achieve his/her short and long-term career goals. While the FAC-C certification application process does not have a separate section for validating the employee's achievement of core contracting competencies, documentation of which ones have been developed or enhanced is required for fulfillment and waivers (see Chapter 3, Subsection A(7), Certification Through Fulfillment; and Chapter 5, Section F, Waivers to Warrant Standards).

## **(5) FAC-C Requirements and Certification Levels**

The requirements for certification are cumulative. An individual must meet the requirements for each lower certification level to be certified at the next level. Maintenance of a FAC-C certification on any level is a function of continuous learning. (See paragraph 6(d), below.)

The requirements for the FAC-C are as follows:

### **(a) FAC-C Level I**

- (i) Education**—Bachelor's degree OR at least 24 semester hours among the following disciplines: accounting, law, business, finance, contracts, purchasing, economics, industrial management, marketing, quantitative methods, and organization and management.
- (ii) Training**—
  - CON 100 Shaping Smart Business Arrangements
  - CON 110 Mission Support Planning
  - CON 111 Mission Strategy Execution
  - CON 112 Mission Performance Assessment

- CON 120 Mission Focused Contracting AND
- 1 Approved Elective

(iii) Experience—1 year of contracting experience

Employees who are beginning a program to become Level I certified after October 2006 must take CON 100 and may not substitute an equivalent course. Employees pursuing Level II or Level III certifications may consider taking CON 100 as an elective, if they met the requirements for FAC-C Level I with an equivalent course for CON 100, or through other fulfillment.

(b) FAC-C Level II

(i) Education—Bachelor’s degree OR at least 24 semester hours among the following disciplines: accounting, law, business, finance, contracts, purchasing, economics, industrial management, marketing, quantitative methods, or organization and management.

(ii) Training—

- CON 214 Business Decisions for Contracting (online)
- CON 215 Intermediate Contracting for Mission Support
- CON 216 Legal Considerations in Contracting (online)
- CON 217 Cost Analysis and Negotiations Techniques (online)
- CON 218 Advanced Contracting for Mission Support AND
- 2 Approved Electives

(iii) Experience—2 years of contracting experience (one additional year beyond the FAC-C Level I experience requirement)

(c) FAC-C Level III

(i) Education - Bachelor’s degree AND at least 24 semester hours among these disciplines: accounting, law, business, finance, contracts, purchasing, economics, industrial management, marketing, quantitative methods, and organization and management.

(ii) Training:

- CON 353 Advanced Business Solutions for Mission Support AND
- 2 Approved Electives

(iii) Experience - 4 years of contracting experience

(d) It is government-wide policy that waivers of education requirements for FAC-C certification will not be provided. Training requirements must be met through courses taught by DAU, DAU-approved equivalent courses, or fulfillment. If the HHS organization must issue a Contracting Officer warrant to an otherwise highly qualified candidate who has not met the education component of the GS-1102 qualification standards, and has no other viable alternative, a waiver can be requested for issuance of the warrant. However, a FAC-C certification request may not be submitted until the employee meets the educational requirements.

**(6) Additional Information on Educational, Training, Experience, and Continuous Learning Requirements**

(a) The FAC-C program's educational requirements are based on the GS-1102 qualification standard. However, as stated above, education waivers granted in accordance with the GS-1102 qualification standard do not satisfy the education requirements for a FAC-C. An employee must meet the appropriate educational requirements to be FAC-C certified. (For more information on obtaining an educational waiver from the GS-1102 qualification standard, see Chapter 2.)

(b) Training

(i) Equivalent Courses

The FAC-C training requirements include both mandatory core contracting courses and electives. In accordance with OFPP Policy Letter 05-01, core courses taken by civilian agency personnel must be provided by the Defense Acquisition University (DAU) or be DAU approved-equivalent courses. Candidates must provide evidence (e.g., course completion certificates, printout of HHS training database record) of satisfactory completion of these courses, as part of the application for certification. DAU publishes a list of current DAU courses in its catalog, available at [www.dau.mil/catalog](http://www.dau.mil/catalog). When DAU modifies its curriculum, it lists predecessor classes that allow an individual to associate past training with the new requirements. These are listed in the DAU catalog at:

[http://www.dau.mil/catalog/cat2008/catalog%20pdf%20files/dec%2018/cha%20pter%203%20\(6\\_10\\_08\).pdf](http://www.dau.mil/catalog/cat2008/catalog%20pdf%20files/dec%2018/cha%20pter%203%20(6_10_08).pdf). A full list of current and past DAU-approved equivalent courses taught by other educational institutions and commercial vendors is available at: <http://www.dau.mil/learning/appg.aspx>; this site can also be accessed through <http://www.fai.gov/>.

(ii) Electives

The employee's supervisor must review each planned elective and determine whether it meets FAC-C elective requirements.

As agreed to by the employee and supervisor, electives may be any functional-specific training opportunity that is (1) related to the employee's job, (2) necessary for career development, or (3) used for cross training. Electives may include distance (e.g., on-line) learning or assignment-specific courses. Employees are encouraged to take courses that add to their knowledge base or enhance existing skills. Electives should generally be increasingly more complex throughout an employee's career progression. There are no DAU equivalency requirements for electives. The completion of an elective requirement must include the completion of one or more training classes related to the employee's job requirements and must total no less than 8 hours of training.

OPDIVs may require HHS-specific training as part of the elective requirements or continuous learning requirements, but HHS-specific training is not required for FAC-C certification.

(c) Experience

The requirements for experience are based on the GS-1102 qualification standard. Experience may be time spent on the job in a contracting-related position, either in the private or public sector that reflects the accumulation of knowledge, skills, and abilities during years of progressively more responsible work assignments.

(d) Recertification

OFPP Memorandum, "*The Federal Acquisition Certification in Contracting Program*," dated January 20, 2006, requires that to maintain a FAC-C certification, contracting professionals are required to earn 80 continuous learning points (CLPs) of skills currency training every 2 years beginning October 1, 2007. One CLP generally equates to one classroom hour and varies for other learning activities as described in Appendix C, "FAC-C Requirements for Continuous Learning," of this handbook. A FAC-C certification will automatically expire if 80 CLPs are not earned every 2 years following an employee's initial certification or recertification (which occurs every 2 years upon verification by the OPDIVACM that the required CLPs have been earned). If initial certification occurred after October 1, 2007, the employee's two-year period for attainment of CLPs begins upon the date of certification.

## **(7) Certification Through Fulfillment**

(a) General requirements

Career contracting staff generally has received acquisition training throughout their careers. While courses should be taken to keep informed of current laws, regulations, and policies, many courses taken before January 2006 are reasonable alternatives to current classes available to meet FAC-C

certification requirements. The FAC-C program allows such courses to be considered to fulfill the requirements for certification. The fulfillment program for FAC-C certification is based on accepting (1) courses taken from HHS, other federal agencies, or other training providers, (2) certifications by other organizations, or (3) related work experience, to satisfy the mandatory training requirements under the FAC-C. The fulfillment program only applies to mandatory training, not required education.

A candidate must meet the training requirements by taking DAU training, DAU-approved equivalent courses, or through fulfillment. If a course is not listed on the DAU or FAI website as being equivalent, then the course will be considered for fulfillment on a case-by-case basis by the OPDIV ACM.

Candidates must submit, and supervisors must review, documentation as to how the required competencies for a particular certification level were attained -- through alternative training, experience, education, certification by another recognized organization, or other developmental activities. Candidates must provide documentation of fulfillment of competencies, as part of the "FAC-C Certification Application Form" (see Appendix D).

The HHS ACM for Contracting will make the final decision on whether to approve a FAC-C application.

(b) FAC-C fulfillment guidelines are specified below:

(i) Alternative training

If an employee obtained competencies through vendor-offered courses that were not DAU or DAU-equivalent courses, he or she must provide the dates of training, course descriptions, provider names, grades (if applicable), and competencies achieved. If an employee obtained competencies through academic courses provided at an accredited institution, he or she must provide the dates of each class, course descriptions, provider names, grades (if applicable), and competencies achieved.

FAI reviews acquisition training courses that members of the civilian agency workforce have completed to determine if the necessary competencies were addressed to fulfill all or part of FAC-C mandatory course requirements. FAI lists this information at:  
<http://www.fai.gov/certification/fac1.asp>.

(ii) Certification by a recognized organization

HHS must follow the determinations made by DoD as to which certifications by organizations outside the federal government are eligible for full or partial consideration under the DAWIA and FAC-C programs. These determinations are maintained on the DAU and FAI websites.

(iii) Experience

If the employee is using job experience for fulfillment, he or she must provide the agency name, dates, location, position title, and the duties performed that provided the relevant competencies. Such experience may be from either the public or private sector.

**(8) FAC-C Application and Certification Procedures**

(a) Basic certification

- (i) An employee seeking FAC-C certification completes an application form, including required documentation (see Appendix D), and submits it to his or her supervisor for review. If the supervisor concurs, the application is submitted to the HCA for review. Alternatively, the HCA may designate a board to review the application and make the final recommendation, provided the board's composition and operating procedures are fully explained in OPDIV procedural guidelines.
- (ii) If the HCA concurs, the OPDIV ACM forwards the application package to the HHS ACM for Contracting. [NOTE: OPDIV ACMs are strongly encouraged to submit application packages by sending scanned versions to the HHS ACM for Contracting as an attachment to an e-mail message. If application packages are sent by regular mail, they should be copied double-sided and not be enclosed in binders, or plastic page protectors.] The mailing address for paper applications is: ASFR/OGAPA/DA, U.S. Department of Health and Human Services, HHH Bldg., Mailstop 537H, Attn: ACM for Contracting, 200 Independence Ave., S.W., Washington, D.C. 20201.
- (iii) The HHS ACM for Contracting reviews each application to determine whether the employee satisfies the requirements for the requested certification. If the HHS ACM for Contracting determines that the employee satisfies the requirements, he or she issues the appropriate FAC-C certificate. If the HHS ACM for Contracting needs additional information to make a determination, the application may be returned to the employee, through the OPDIV ACM, with a request to furnish supporting data.
- (iv) If the HHS ACM for Contracting determines that an applicant does not meet the established criteria for the level of certification requested, the HHS ACM for Contracting furnishes the OPDIV ACM a written explanation why the request was denied. The OPDIV ACM forwards the explanation to the employee, and the supervisor updates the employee's IDP as appropriate.
- (v) The HHS ACM for Contracting retains FAC-C applications in an official file for audit purposes.

## (b) Other Federal Certifications

Since HHS honors all current FAC-C 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, if the candidate’s immediate supervisor determines that a candidate has met the FAC-C CLP requirements, then the individual can apply for FAC-C certification at HHS, following the application procedures described above

## **(9) Program Oversight and Administration**

The FAI Board of Directors, in consultation with FAI, the Interagency Acquisition Career Management Committee (IACMC), and other appropriate organizations, provides general FAC-C program oversight and recommends program changes to the Administrator for Federal Procurement Policy to ensure that the FAC-C program reflects the needs of all civilian agencies. Changes to the program are communicated formally through the Chief Acquisition Officers Council or through other means, depending on the significance of the change. FAI maintains the most current version of the FAC-C program requirements at: [www.fai.gov](http://www.fai.gov).

FAI administers the program through issuance of guidance, principally through its website. Additionally, FAI periodically reviews agencies’ implementation to ensure that the program remains rigorous and the standards for certification for education, training, experience, and continuous learning are consistently applied by all civilian agencies.

FAI also conducts periodic audits to validate that the standards for the certification program are being met by the agencies. Audit checks may include:

- Verifying that the agency maintains FAC-C applications;
- Auditing an individual’s records for documentation that the individual attended the training reported on the FAC-C application;
- Verifying that a rigorous fulfillment process is being followed by the agency and that this process is aligned with the DAWIA fulfillment process; and
- Verifying that new warrant holders are appropriately certified in accordance with agency-specific policy.

## **B. HHS Simplified Acquisition Certification (SAC)**

### **(1) General**

The requirement for FAC-C Certification does not apply to personnel seeking contracting authority at or below the simplified acquisition threshold as defined in FAR Part 2.101. However, before being allowed to independently conduct simplified acquisitions up through the simplified acquisition threshold, personnel must first obtain an HHS Sim-

plified Acquisition Certificate, which is issued at the OPDIV level. HHS has established two levels of Simplified Acquisition Certification (SAC). They are the simplified acquisition certification “A” (SAC–A), and Simplified Acquisition Certification “B” (SAC-B).

## **(2) HHS Simplified Acquisition Certification A**

The minimum training, experience, and performance requirements for certification are:

### **(a) Training -**

- Basic Simplified Acquisition Procedures or DAU’s CON 237, “Simplified Acquisition Procedures” (CON 237–online)
- Advanced Simplified Acquisition Procedures or Appropriations Law
- Experience–6 months of hands-on experience in simplified acquisition. Such experience may be from either the public or private sector.

### **(b) Performance rating - Satisfactory performance rating for most recently completed performance period from HHS or previous workplace.**

## **(3) HHS Simplified Acquisition Certification B**

The minimum training, experience, and performance requirements for certification are:

### **(a) Training -**

- Basic Simplified Acquisition Procedures or DAU’s CON 237, “Simplified Acquisition Procedures” (CON 237–online)
- Advanced Simplified Acquisition Procedures or Appropriations Law
- CON 100 (Shaping Smart Business Arrangements)
- CON 110 (Mission Support Planning)

### **(b) Experience–**

One year of experience in simplified acquisition, 6 months of which must be hands-on experience in simplified acquisition. Such experience may be from either the public or private sector.

### **(c) Performance rating -**

Satisfactory performance rating for most recently completed performance period from HHS or previous workplace.



#### **(4) Continuous Learning Requirement**

Individuals who hold a SAC certification are required to earn 40 CLPs of skills currency training every 2 years beginning October 1, 2007. A SAC will automatically expire if 40 CLPs are not earned every 2 years following an employee's initial certification or recertification, and any associated warrant may be terminated.

#### **(5) SAC Application and Certification Procedures**

Employees prepare their applications for certification in accordance with "SAC Certification Application Form" (see Appendix F) and "Checklists for Simplified Acquisition Certification" (see Appendix G). The HCA makes the final determination as to whether an employee should be certified at a particular level under the SAC program. Alternatively, the HCA may designate a board to make the final determination, provided the board's composition and operating procedures are fully explained in OPDIV procedural guidelines. The HHS ACM for Contracting assigns numbers for SAC certificates and OPDIV ACMs issue the certificates.

The OPDIV ACM must retain completed SAC certification application forms for audit purposes.

### **C. Application Sufficiency**

Whenever the OPDIV ACM reviews a FAC-C or SAC application package and determines that the package cannot be submitted to the HCA because the employee does not meet the established criteria for the level of certification requested, the OPDIV ACM must furnish the employee, through supervisory channels, a written explanation why the request was denied.

If an application package is deemed insufficient, the employee's immediate supervisor should develop a strategy that will assist the employee in obtaining certification by planning the employee's work assignments and training to gain competency in deficient areas, and the strategy should be documented in the employee's IDP.

# CHAPTER 4—HHS-SPECIFIC TRAINING REQUIREMENTS

## A. Courses

HHS-specific training requirements are listed below. They are not tied directly to FAC-C or SAC certification requirements or CLP accomplishment. These courses may be used as electives for the purpose of satisfying FAC-C requirements, or as continuous learning for maintenance of FAC-C or SAC certification, but are required for individuals in contracting positions, as stated, regardless of whether the employee holds a warrant or is FAC-C or SAC certified.

### **(1) Earned Value Training Requirement for Contracting Officers/Contract Specialists**

Effective January 1, 2010, all personnel in the GS-1102 series who award or administer any contract to which earned value management (EVM) is required (HHSAR Part 334), must complete an EVM course, prior to assuming such responsibilities. After completing the initial course, a refresher course is required every two (2) years... Determination of course suitability shall be made by the OPDIV HCA, in conjunction with the Office of Chief Information Officer or Office of Facilities Management and Policy, as appropriate. To be eligible, the basic and refresher courses must each be 8 hours or more in length. For exceptions to EVM training requirements, please see HHSAR Subpart 301.6.

### **(2) Performance-Based Acquisition**

Effective January 1, 2010, all GS-1102s, who award or administer service contracts are required to complete a Performance-Based Acquisition (PBA) course prior to assuming such responsibilities. Refresher training in PBA is required every four (4) years. To be eligible, a course must be 8 hours or more in length. Determination of course suitability shall be made by the OPDIV HCA. For additional information on PBA training requirements, please see HHSAR Subpart 301.6.

### **(3) Federal Appropriations Law Training**

Effective January 1, 2010, all GS-1102s and GS-1105s are required to complete both the HHS University classroom-based course (or equivalent) and on-line Federal Appropriations Law course, by June 30, 2011, (for current employees) and within one (1) year of entering on duty (for new employees). Employees are required to take the HHS University on-line course as refresher training every year. Determination of course equivalency shall be made by the OPDIV HCA. For additional information on Federal Appropriations Law Training requirements, please see HHSAR Subpart 301.6.

#### **(4) Green Purchasing Training**

Effective January 1, 2010, all GS-1102s and GS-1105s are required to complete two (2) hours of green purchasing training by January 1, 2011 (for current employees) and within one (1) year of entering on duty (for new employees). Two hours of refresher training is required every two (2) years. Determination of training suitability shall be made by the OPDIV HCA. For additional information on green purchasing training requirements, please see HHSAR Subpart 301.6. Training may be accomplished through many venues, such as on-line, in-house, classroom, or web seminars. Federal agencies such as the Department of Energy and the Environmental Protection Agency, have excellent on-line training.

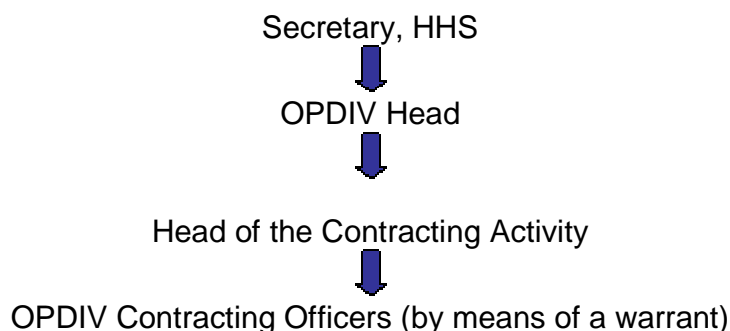
#### **(5) Section 508 Training**

Effective January 1, 2010 (or when the HHS Office on Disability so requires), all GS-1102s, GS-1105s, and GS-1106s who award or administer acquisitions that exceed the micropurchase threshold and involve electronic information technology (EIT) products or services (subject to Section 508 of the Rehabilitation Act of 1973 and pertinent HHSAR provisions), must complete all applicable training courses sponsored by the HHS Office on Disability. For information on frequency, timing, and duration of the training requirement, please consult with the HHS Office on Disability.

# CHAPTER 5—SELECTION, APPOINTMENT, AND TERMINATION OF APPOINTMENT OF CONTRACTING OFFICERS

## A. Basic Requirements

Authority to enter into contractual relationships and commit the Government to the expenditure of public (taxpayer) funds is a delegated authority. This authority must be delegated in writing to the individual except for certain high level positions as specified in this chapter (see Applicability). HHS contracting authority is delegated as follow:



Employees with delegated contracting authority are the only individuals legally authorized to bind the Government by executing contracts and signing determinations and findings required by the FAR. HHS is committed to ensuring that only highly qualified individuals are authorized to obligate contracts and orders with dollar values that exceed (or are expected to exceed) the micro-purchase threshold. FAR 1.603 describes the requirements for the selection, appointment, and termination of Contracting Officers. Limitations of authority are set for each Contracting Officer based on factors such as experience in acquisition, education, knowledge of acquisition methods, satisfactory completion of required acquisition training courses, understanding of acquisition laws and regulations, and personal integrity and professional conduct in exercising acquisition responsibilities.

In accordance with FAR 1.603, the Contracting Officer appointment document for authority in excess of the micro-purchase threshold shall be the Standard Form (SF) 1402, "Certificate of Appointment," and must indicate the Contracting Officer's warrant level and any major limitations (HHSAR 301.603). The SF 1402 allows the employee to commit the Government to buy goods and services and obligate funds subject to any limitations as stated in the warrant. Limitations may also be set forth in a transmittal memorandum which is referenced on the SF 1402. All contract award documents must be signed using the name set forth in the Contracting Officer's warrant.

Contracting Officer warrants may state specific dollar ceilings up to which the warranted Contracting Officer may sign on behalf of the Government, or may be unlimited. When a ceiling is specified, the ceiling is applied to the *whole contract value (inclusive of the potential value of all options)*. Even though only a fraction of the *total* estimated value of the procurement may be funded at the time of award (e.g., due to an indefinite delivery contract with options), the Contracting Officer signing the award must hold a warrant with a ceiling that is greater than or equal to the *total* potential value of the award. For new or follow-on awards, the dollar amount of an individual transaction is the amount obligated at the time of contract or order award plus any potential option amounts or future multiple-year funding amounts established by the transaction.

For example, a Contracting Officer with a \$500,000 warrant may not award a contract for a base year of \$300,000 if the contract includes a potential 1-year option for an additional \$300,000, since the individual transaction amount (base contract amount plus the potential option amount) exceeds the maximum amount stipulated in the warrant. However, under an existing contract or order, when an option is subsequently exercised, or a contract or order is otherwise modified to add funding, the dollar amount of the modification (individual transaction) determines whether a Contracting Officer has the necessary authority to sign it. For example, a Contracting Officer with a \$500,000 warrant may exercise a \$400,000 option or sign a contract or order modification for \$400,000 even if it increases the total dollar value of a contract or order above \$500,000, since the amount of the individual transaction (\$400,000) does not exceed the Contracting Officer's warrant authority

## **B. Applicability**

HHS Contracting Officer warrants are normally issued only to personnel in the GS-1102, GS-1105, and GS-1106 series (as applicable), or other series requiring contracting authority for simplified acquisitions over the micro-purchase threshold.

The SPE, the CAO, Acting SPE, and Acting CAO shall be considered Contracting Officers at HHS because of their positions and delegated authorities; accordingly, an SF 1402 is not required. Each HCA must be FAC-C Level III certified within two (2) years after selection as HCA, unless the HCA has the highest level of certification in acquisition, program, or project management from any civilian Federal or DoD agency. HCAs and those officially acting in their capacities are not required to have a warrant.

## **C. Relationship of FAC-C, SAC-C, and Warrants**

Effective January 1, 2007, those individuals seeking a warrant for the first time or those individuals seeking an increase in warrant authority must be FAC-C or SAC certified at the appropriate level, as a prerequisite to being appointed as a Contracting Officer. A new Contracting Officer warrant is defined as the first warrant issued to a Federal employee, consistent with OFPP Policy Letter 05-01. Individuals seeking an increase in their warrant authority must also be FAC-C certified at the appropriate level.

As a prerequisite to obtaining a warrant, FAC-C certification does not apply to:

- The SPE;
- Senior level officials responsible for delegating contracting authority;
- Non-1102s whose warrants are generally used to procure emergency goods and services; and
- Non-1102s whose warrants are so limited as to be outside the scope of this program, as determined by the CAO.

A senior level (FAC-C Level III) certification is required for those seeking an unlimited warrant after January 1, 2007. SAC-A and SAC-B certifications directly correlate to SAC-A and SAC-B warrants.

FAC-C or SAC-C certification at the applicable level is a prerequisite for a Contracting Officer warrant, as follows:

**(1) FAC-C Level I**

Required for all personnel to be delegated Contracting Officer authority up to \$500,000 (and up to \$5,000,000 for commercial purchases). This certificate is a prerequisite for delegation of Contracting Officer authority to place orders against Federal Supply Schedules, GWACs, and other delivery and task order vehicles up to the contract limit (if any), or up to \$500,000 (or \$5,000,000 per commercial item transaction), whichever is less.

**(2) FAC-C Level II**

Required for all personnel to be delegated Contracting Officer authority up to \$10,000,000. This certificate is a prerequisite for delegation of Contracting Officer authority to place orders against Federal Supply Schedules, GWACs, and other delivery and task order vehicles up to the contract limit (if any) or \$10,000,000, whichever is less.

**(3) FAC-C Level III**

Required for all personnel to be delegated unlimited Contracting Officer authority.

**(4) HHS Simplified Acquisition Certificate A (SAC-A)**

This certification level is sufficient for delegation of Contracting Officer authority up to and including \$25,000 per transaction on the open market

## **(5) HHS Simplified Acquisition Certificate B (SAC-B)**

This certificate is sufficient for delegation of Contracting Officer authority: (a) up to and including the simplified acquisition threshold as defined in FAR Part 2.1; and (b) to use simplified acquisition procedures (exceeding the simplified acquisition threshold) under FAR Part 13 (neither authority under (a) and (b) may exceed any applicable PRISM warrant thresholds).

## **(6) Contracting Officers without FAC-C Certification**

Contracting Officers holding warrants grandfathered without FAC-C certification must nevertheless meet the continuous learning requirement of 80 hours every 2 years to retain their warrants.

# **D. Selection and Appointment**

## **(1) General Applicability**

The procedures for the selection and appointment of Contracting Officers apply to anyone seeking the authority for a Contracting Officer warrant. Appointing officials must ensure that individuals delegated warrant authority meet the applicable requirements of this handbook and HHSAR 301.603. Contracting Officer warrants will be issued to Civil Service and Public Health Service Commissioned personnel only. Delegations of Contracting Officer authority may not be given to contractors.

An individual shall be appointed as a Contracting Officer only in instances where a valid organizational need is demonstrated. Factors to be considered in assessing the need for an appointment of a Contracting Officer include volume of actions, complexity of work, and structure of the organization

Contracting Officers may delegate various responsibilities to technical personnel under HHSAR 301.604. Also, Contracting Officers may designate individuals as ordering or approving officials under blanket purchase agreements, IDIQ contracts, or other pre-established mechanisms. These individuals are not considered or required to be Contracting Officers; however, they must receive sufficient instruction from the Contracting Officer to ensure appropriate exercise of the responsibilities and knowledge of their limitations..

## **(2) Interim Appointments**

If it is essential to appoint an individual who does not fully meet the certification requirements for the Contracting Officer authority sought, an interim appointment may be granted by the HCA, when the SPE has approved a waiver under subsection F, Waivers to Warrant Standards, below (if applicable). The HCA and Contracting Officer will discuss time frames for extension of an interim appointment to allow completion of the certification requirements, and the HCA will make the final decision on whether to grant the extension. Interim appointments may not exceed two (2) years in total, and shall not

be granted unless the individual can meet the certification requirements within 2 years from the date of appointment. If the certification requirements are not met by that date, the appointment will automatically terminate.

A GS-1102 qualification standard educational waiver obtained for employment or promotion does not satisfy the educational requirements for a FAC-C certification and, therefore, is not acceptable for purposes of issuing a Contracting Officer warrant.

## **E. Appointment Procedures**

(1) The request for a delegation of Contracting Officer authority and other documentation must be initiated by the employee's supervisor, who then forwards the request to the HCA for approval. The request package must include the following:

- Employee's current resume or Optional Form (OF) 612 describing the employee's experience, education, and training relevant to the position, including the information required by FAR 1.603-2.
- A copy of the employee's most recent performance appraisal.
- A copy of the previously issued certification (either FAC-C or HHS) indicating the employee's current certification level, if applicable.
- Evidence of completion of mandatory training and CLPs, such as an HHS printout of completed training or certificates, for any training completed since the date of the last certification or recertification.

(2) The original copy of the warrant (SF 1402) will be mailed or given in person to the individual and a copy of the warrant will be maintained in a file within each OPDIV. Warrants are to be protected and displayed in a visible place near the Contracting Officer's desk. Each warrant must include the individual's name and organization, any limitation of authority, warrant number, and other applicable restrictions. The warrant must include either a period of appointment for a term-limited appointment, or the following statement concerning the period of appointment:

"Unless sooner terminated, this appointment is effective only while the appointee is assigned to the HHS organization named on this certificate."

(3) The certificate must be prominently displayed in the vicinity of the Contracting Officer's work area.

(4) Appointments must be reviewed by the OPDIV for organizational need and compliance with FAC-C or SAC requirements, every 2 years.

(5) HCAs must maintain a file containing the qualifications of each Contracting Officer. The file must contain copies of the warrant and other items from the nomination package (see paragraph E.(1) above).



## **F. Waivers to Warrant Standards**

The employee's supervisor may request that the SPE waive the educational requirements for the purpose of issuing a warrant, as long as all other requirements for a FAC-C certification level are met and all other mandatory training has been completed. Waivers for alternate training are not required because those requirements can be met through courses taught by DAU, DAU-approved equivalent courses, or fulfillment. Waivers are necessary if the candidate for a warrant does not meet the educational requirements. Such waivers will not normally be approved unless the HHS OPDIV has no viable alternative but to issue a Contracting Officer warrant to this otherwise highly qualified candidate. The employee cannot receive FAC-C certification until the educational requirements are met.

Requests for waivers from the requirements for delegation of Contracting Officer authority must be sent in writing to the HHS SPE. The request for an appointment waiver must include the following:

- Justification documents to include: explanation that a unique staffing situation exists and the impact the waiver disapproval would have on the organization. A narrative that states how the candidate's background and experience are appropriate to the contract actions(s) for which the warrant is required.
- The individual's resume or OF 612.
- An IDP, agreed upon by the candidate and the HCA, identifying the requirements that are not met and specifying a time frame for achieving the requirements.
- A memorandum of concurrence and recommendation for the waiver from the HCA.

The SPE will forward to the HCA a written approval or disapproval of the waiver request.

This waiver is not transferable to another agency.

## **G. Termination and Modification of Contracting Officer Warrants**

Supervisors must provide written notification to the HCA whenever a Contracting Officer is disciplined for violation of laws, regulations, or contracting policies, or is determined to be incompetent. Supervisors must also provide written notification to the HCA when a Contracting Officer transfers to another office, resigns, retires, is no longer serving as a Contracting Officer, or is terminated.

The HCA must terminate or modify a Contracting Officer's warrant, as a result of any of the following:

- Separation of the individual from the HHS organization (e.g., retirement or resignation) (assuming automatic termination of the warrant is not included on the SF 1402).

- Reassignment of the individual to a position not requiring a warrant within the same organizational unit.

The HCA may terminate or modify a Contracting Officer's warrant as a result of any of the following:

- Failure to maintain a satisfactory performance rating.
- Failure to maintain training standards of the appointment (including attaining CLPs/maintenance of skills currency).
- Violation of the Standards of Conduct of the Executive Branch (see 5 CFR Part 2635).
- Failure to comply with the applicable laws, regulations, or policies in the Contracting Officer's performance of his or her duties.
- No further organizational need for the appointment.

Termination of Contracting Officer appointments shall be accomplished in accordance with FAR 1.603-4.

If the HCA specifically terminates or modifies a warrant, he or she must notify the warrant holder in writing when the termination or modification is effective, providing enough time and sufficient instruction to ensure that no unauthorized obligations are made. The warrant holder should acknowledge this notification in writing.

The original SF-1402 should be returned to the issuing office for placement in the Contracting Officer's appointment. The returned warrant shall be marked "Cancelled," and placed with the HCA's termination letter to the employee in the Contracting Officer's appointment file.

The HCA must notify the invoice payment office when a warrant is either automatically terminated by the terms of the warrant or is specifically terminated by the HCA.

# Appendix A—Request for Waiver to the GS-1102 Qualification Standard

## Memorandum

TO: Senior Procurement Executive (Name and Title)

FROM: Head of Contracting Activity (Name and Title)

THROUGH: Selecting Official (Name and Title)

SUBJECT: Request for Waiver to GS-1102 Qualification Standard

### ***(To be filled out by the employee)***

(1) Name of employee submitting the request for waiver, Title, Series, Grade, HHS or FAC-C (specify which program) Acquisition Certification Level:

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(2) Employee's work location (organization, division, city, state):

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(3) Employee's phone number, fax number, e-mail address:

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I have \_\_\_\_ do not have \_\_\_\_ a 4-year course of study leading to a bachelor's degree with a major in any field.

I have \_\_\_\_ do not have \_\_\_\_ the 24 semester hours in a combination of the following fields: accounting, business, finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, and organizational management. (Please provide a list of courses and the number of semester hours for each course if you do not have a bachelors or masters degree in one of the previously listed fields). Please attach a copy of your resume/OF 612.

***(To be filled out by the employee)***

(4) Waiver to the GS-1102 qualification standard

The HHS waiver policy is as follows:

(i) Waivers are processed in accordance with the OPM GS-1102 qualification standard;

(ii) Educational waivers may be granted at HHS when employees can provide evidence that they are currently enrolled in a bachelor's degree program at an accredited college or university, or plan to enroll for the next available session or semester;

(iii) The SPE at HHS will only approve waivers for GS-13 and above positions when it will take the individual no more than 5 years to complete a 4-year course of study leading to a bachelor's degree that included or was supplemented by at least 24 semester hours of business or business-related courses.

(iv) The employee shall complete a Request for Waiver to the GS-1102 Qualification Standard Application Form (found in Appendix A of the "Federal Acquisition Certification In Contracting and Simplified Acquisition Certification Handbook"). The employee and his or her supervisor must sign an Individual Development Plan (IDP) that specifies: the requirements (number of college credits to be earned and courses scheduled for each year) remaining to satisfy the educational requirements, when and how the requirements will be met, and the consequences if the requirements are not met. The IDP must be approved by the HCA and forwarded to the SPE.

(v) The decision to approve an educational waiver is based upon the criteria listed above. If a waiver is approved, the waiver and a copy of the employee's IDP must be included in the employee's Official Personnel File and the HCA's educational waiver file.

(vi) Once a waiver is approved, the employee must complete a Status Update on Compliance with Educational Waiver Requirements (found in Appendix B of the "Federal Acquisition Certification In Contracting and Simplified Acquisition Certification Handbook") by July 1 of each year and e-mail it, along with his or her college transcript(s), to the Department-level Acquisition Career Manager (HHS ACM). Further, the employee must specify the number of credits earned; courses taken; credits/classes scheduled to complete the educational requirements; and the exact date he or she expects to complete the educational requirements. Failure to fulfill this condition of employment and to submit this status report by July 1 of each year to the HHS ACM may result in:

(a) revocation of the waiver and return to the grade and series held prior to promotion; and (b) if appropriate, return to warrant authority held prior to promotion.

If an individual is placed in a position on the basis of an educational waiver, HHS may later reassign that individual to another position at the same grade within the Department without additional waiver action. Waiver authority cannot be delegated to the OP-DIV level.

I am currently enrolled in the following degree program (*name program*) \_\_\_\_\_ at the following college/university (*name college/university*) \_\_\_\_\_. My planned date of graduation/completion of educational requirements is (*give date*) \_\_\_\_\_. I have been enrolled in this college/university since (*give date*) \_\_\_\_\_. I acknowledge that, if granted an educational waiver, failure to submit a completed Status Update on Compliance with Educational Waiver Requirements and documentation of completion of specified courses/credits on an annual basis to the HHS ACM may result in: (a) revocation of the waiver and return to the grade and series held prior to promotion; and (b) if appropriate, return to warrant authority held prior to promotion.

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(Signature of Employee and Date)

***(To be filled out by the selecting official and HCA)***

(5) Request for waiver to the GS-1102 qualification standard

This request is to waive the \_\_\_\_ 24 semester hours of business-related courses, or \_\_\_\_ four years of college leading to a bachelor's degree for the following employee or candidate (*fill in name*) \_\_\_\_\_. (*Please identify the requirement(s) to be waived. For example, lacks 24 credit hours, but not the college degree, etc.*)

Please provide justification for requesting the waiver. For example, explain that a unique staffing situation exists, such as a difficult to fill position or duty location where it is difficult to attract qualified candidates that meet all of the standard requirements; a description of why the individual should be selected in place of a candidate who meets the qualification standard (if applicable); the impact of the waiver disapproval on the organization; a description of the position, location, grade and anticipated warrant level; and the candidate's efforts to meet the standard and the estimated time frame for completion of the standard. Also include a description of recruiting efforts and results of those efforts and a copy of the previously approved vacancy announcement (if applicable).

I certify (insert employee's or candidate's name) \_\_\_\_\_ has significant potential for advancement to levels of greater responsibility and authority, based on demonstrated analytical and decision-making capabilities, job performance, and qualifying experience and background for the requirements of the position to be filled.

Include copies of documentation such as the employee's resume and/or application. Include a statement that the employee/candidate intends to complete the educational requirements by a specified timeframe (specify the number of credits and courses).

Selecting Official Endorsement:

Head of the Contracting Activity Endorsement:

I hereby endorse this request for a waiver.

I hereby endorse this request for a waiver.

\_\_\_\_\_  
(Signature and Date)

\_\_\_\_\_  
(Signature and Date)

***(To be filled out by the SPE)***

SPE Decision:

\_\_\_\_\_ Approved

\_\_\_\_\_ Disapproved

\_\_\_\_\_  
(Signature and Date)

Attachments: (as applicable):

- Justification for requesting the waiver
- Vacancy Announcement
- Position Description
- Description of recruiting efforts
- Employee's application/resume/OF 612
- IDP, including plan for meeting the GS-1102 qualification standard

# Appendix B—Status Update on Compliance with Educational Waiver Requirements

## Memorandum

TO: HHS' Acquisition Career Manager

FROM: *(Employee's name and Title)*

THROUGH: *(Head of Contracting Activity) (OPDIV ACM)*

SUBJECT: Status Update on Compliance with Educational Waiver Requirements

### ***(To be filled out by the employee)***

(1) Date Waiver Approved by SPE: \_\_\_\_\_

(2) I am currently enrolled in a degree program to complete *(please check)* \_\_\_\_\_ a bachelor's degree and/or \_\_\_\_\_ 24 semester hours of business-related courses.

(3) Planned date of graduation/completion of educational requirements (as specified in my IDP) \_\_\_\_\_.

(4) The Head of the Contracting Activity and I agree that I will complete *(state number of credits)* \_\_\_\_\_ credits by *(give the date)* \_\_\_\_\_. (as specified in my IDP) (Attach documentation, i.e., transcripts) to this status update.

(5) I have completed \_\_\_\_\_ credits *(state number of credits)* and the following courses *(list courses below)* through June 30 of this year:

### **Employee's signature:**

I acknowledge that failure to submit a completed status update and documentation of completion of specified courses/credits by July 1 of each year to the Department-level Acquisition Career Manager may result in: (a) revocation of the waiver and return to the grade and series held prior to promotion; and (b) if appropriate, return to warrant authority held prior to promotion.

\_\_\_\_\_  
(Signature of Employee and Date)

# Appendix C—FAC-C Requirements for Continuous Learning

To maintain a FAC-C certification, contracting professionals are required to earn 80 continuous learning points (CLPs) of skills currency every 2 years following the employee's initial certification or recertification, beginning October 1, 2007. Continuous learning activities include, but are not limited to, the following:

- Training activities, such as teaching, self-directed study, mentoring;
- Courses completed to achieve certification at the next higher level;
- Professional activities, such as attending/speaking/presenting at professional seminars/symposia/conferences, publishing, and attending workshops; or
- Educational activities, such as formal training, and formal academic programs

A FAC-C will expire if the 80 CLPs are not earned every 2 years OPDIV ACMs, or designees, shall monitor the status of continuous learning requirements with employees holding FAC-Cs to ensure they meet this requirement.

Individuals are encouraged to use continuous learning opportunities to assist them in obtaining core contracting competencies and electives for the next FAC-C level, where appropriate, and for maintaining critical acquisition skills.

## **GUIDANCE ON MEETING CONTINUOUS LEARNING POINT REQUIREMENTS**

OPDIV ACMs have flexibility in assigning continuous learning points. OPDIV ACMs and/or supervisors, as appropriate, should work with employees to identify appropriate opportunities and verify eligibility of planned coursework and activities for CLP status. Below are guidelines on how training, professional activities, education, and experience can be used to meet the CLP requirements. All activities must be job-related to qualify as CLPs.

## **TRAINING AND TEACHING**

The following areas of training may be considered by the OPDIV ACM for FAC-C CLP credit. One hour of instruction or participation generally equals 1 CLP. Some institutions provide training issue certificates based on Continuing Education Units (CEUs) or CLPs, rather than hours of training. Assignment of CEUs is a nationally recognized method of quantifying the time spent in the classroom during professional development and training activities. The CEUs can be converted to CLPs points at 10 CLP points per CEU. Where provided, OPDIV ACMs and supervisors should use CEUs as a guide for assigning CLPs.



(1) *Awareness training.* Periodically OPDIVs conduct briefing sessions to acquaint the contracting workforce with new or changed policy. Generally, no testing or assessment of knowledge gained is required.

(2) *Learning modules and training courses.* These may be formal or informal offerings from a recognized training organization, including in-house training course/sessions, which include some form of testing/assessment for knowledge gained.

(3) *Self-Directed Study.* An individual can keep current or enhance his or her capabilities through a self-directed study program agreed to by the supervisor.

(4) *Teaching.* Employees are encouraged to share their knowledge and insights with others through teaching of courses or learning modules. Teaching is also a part of the Professional Activities category.

## **PROFESSIONAL ACTIVITIES**

(1) *Participation in Organization Leadership.* Membership in a professional organization alone will not be considered as fulfilling continuous learning requirements, but active participation in the organization will. This includes holding elected/appointed positions, committee leadership roles, or running an activity for an organization that you are permitted to join under current ethics law and regulation. The employee must first ensure that participating in the management of an organization is allowed by HHS. One CLP can be assigned for each hour of actual leadership in the group setting, for a maximum of 40 CLPs per year.

(2) *Speaking/Presenting at Professional Seminars/Symposia/Conferences.* Because significant effort is involved in preparing and delivering presentations, two credits should be assigned for each hour of preparation of materials, and for the presentation itself, for a maximum of 20 points per year.

(3) *Teaching/Lecturing.* Credit can be earned for teaching or lecturing on acquisition topics. Because significant effort is involved in preparing and delivering presentations, one point should be assigned for each hour invested in the preparation and presentation. A maximum of 30 points may be assigned per year.

(4) *Publishing.* Writing acquisition-related articles for publication generally meets the criteria for continuous learning. Points will be awarded only in the year published. Compliance with HHS publication policy is required.

(5) *Attending Professional Workshops/Seminars/Symposia/Conferences.* Employees can receive points for attending professional seminars or conferences that are job related and planned learning outcomes are established. However, the supervisor needs to determine that the individual learned something meaningful from the experience.

(6) *Professional Exam/License/Certificate*. One point may be assigned for each hour of formal preparation training, and for the classroom or on-line time required to take the exam. A maximum of 30 points may be assigned.

## ACADEMIC COURSES

For formal academic programs offered by educational institutions, each semester hour, unless otherwise noted, is equal to one CEU or 10 CLPs. For example, a 3-hour credit course taught for one semester would be worth three CEUs and 30 CLP points, assuming that the course is applicable to the acquisition function.

The following table summarizes the assignment of CLPs. The first row addresses CEUs; the remaining rows address calculations when no CEUs are assigned.

<b>Creditable continuous learning activities</b>	<b>Continuous learning point credit (see note)</b>
<b>All Continuous Learning:</b>	
Continuing Education Unit (CEU) assigned	10 per CEU
<b>Training Courses/Modules:</b>	
Awareness Briefing/Training—no testing/assessment associated	.5 point per hour of instruction
Functional Training	1 point per hour of instruction
Leadership or Other Training	1 point per hour of instruction
Equivalency Exams	Same points as awarded for course
Teaching/Lecturing	1 point per hour; maximum of 20 points per year
<b>Professional Activities:</b>	
Professional Organization Leadership	1 point per hour, maximum of 40 points
Symposia/Conference Presentations	2 points per hour, maximum of 20 points per year
Teaching/Lecturing	1 point per hour; maximum of 20 points per year
Publishing	1 point per hour, maximum of 20 points
Attending Professional Workshops Seminars/Symposia/Conferences	1 point per hour in event
Professional Exam/License/Certificate	1 point per hour of formal preparation training or taking exam, maximum of 30 points

<b>Creditable continuous learning activities</b>	<b>Continuous learning point credit (see note)</b>
<b>Academic Courses:</b>	
Quarter Hour	10 per Quarter Hour
Semester Hour	15 per Semester Hour
Equivalency Exams	Same points as awarded for the course

Note - All activities may earn points only in the year accomplished, awarded or published.

## **EXPERIENCE**

Experience includes on-the-job experiential assignments, and intra/inter-organization rotational career broadening and developmental experiences. While agencies can use discretion in arriving at a reasonable point value to be awarded for rotational and developmental assignments, a sliding scale is recommended. Suggested points for such assignments are in the table below.

The assumption is that longer assignments are more beneficial than shorter assignments. The supervisor may feel that an individual may deserve more or less than the value shown. In determining the points for a rotational/developmental assignment, the supervisor should consider both the long-term benefit to HHS, and the immediate benefit to the supervisor's organization and the workforce member. For example, a second rotational of the same sort would be less valuable than a different type of rotational assignment.

When experience or other non-assessed activities are to be used to earn CLPs, certain principles should be followed. Supervisors and employees should pre-define, as closely as possible, the tasks to be accomplished, expected outcomes, and the learning opportunities. Accomplishment of a product, such as a briefing, a project design, a report, or other work product that shows the learning attained, is desirable. Sharing the knowledge and experience gained and the product with others in the organization is encouraged.

<b>Creditable activities</b>	<b>Point credit</b>
<b>Experience:</b>	
On-the-Job Experiential Assignments	Maximum of 20 points per year
Integrated Project Team (IPT)/Special Project Leader	Maximum of 15 points per year
IPT/Special Project Member	Maximum of 10 points per year
Mentor	Maximum of 5 points per year

<b>Creditable activities</b>	<b>Point credit</b>
<b>Assignment Length (Rotational Assignments):</b>	<b>Recommended Points:</b>
12 Months	80
9 Months	60
6 Months	40
3 Months	15
2 Months	10
1 Month	5

# Appendix D—FAC-C Certification Application Form

## Memorandum

TO: (Reviewing Official's name and title)

FROM: (Employee's name and title)

THROUGH: (Employee's supervisor's name and title)

SUBJECT: Request for FAC-C Certification

I am submitting this form and the attached supporting documentation as my application for FAC-C Level \_\_\_\_.

Supporting documentation consists of:

- Transcript or diploma to prove education, or documents to demonstrate employee was in GS-1102 series before 1/1/2000.
- Training certificates and/or previous Acquisition Certification, e.g., DAWIA, HHS, other agency FAC-C.
- OF 612 or resume.
- Most recent performance appraisal.
- Proof of mandatory skills currency.
- Information on fulfillment if applicable (Fulfillment form is only required if you are seeking to have an alternate course credited to meet the training requirement. These forms are not needed for courses already determined equivalent by FAI or DAU.)

### **(To be filled out by the employee)**

(1) Employee information:

Title, series, grade

Current certification level

Office

E-mail address

Are you a warranted Contracting Officer? No \_\_\_\_\_ Yes \_\_\_\_\_

(If yes, provide Warrant Level \_\_\_\_\_ and Approval Date \_\_\_\_\_)

**Education:**

I have \_\_\_\_\_ do not have \_\_\_\_\_ a 4-year course of study leading to a bachelor's degree with a major in any field.

I have \_\_\_\_\_ do not have \_\_\_\_\_ 24 semester hours in a combination of the following fields: accounting, business, finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, and organizational management. (Please provide a listing of courses and the number of semester hours for each course if you do not have a bachelor's or master's degree in one of the previously listed fields).

I was \_\_\_\_\_ was not \_\_\_\_\_ in the GS-1102 series before January 1, 2000. My last position before January 1, 2000 was \_\_\_\_\_; my current position is \_\_\_\_\_.

**Experience:**

Minimum of 1 year contracting experience (SERIES 1102). Yes \_\_\_ No \_\_\_

Minimum of 2 years contracting experience (SERIES 1102). Yes \_\_\_ No \_\_\_

Minimum of 4 years contracting experience (SERIES 1102). Yes \_\_\_ No \_\_\_

**Training requirements:**

Attach all certificates for applicable courses to the FAC-C application package and send the entire package to the OPDIV Acquisition Career Manager.

**Method of Completion:** (Check appropriate space and complete applicable information). For course equivalencies, see Appendix D of the DAU Catalog ([http://www.dau.mil/catalog/cat2007/DAU\\_2007\\_Catalog.pdf](http://www.dau.mil/catalog/cat2007/DAU_2007_Catalog.pdf)).

**FAC-C Level I**

<b>Course name</b>	<b>Date completed or date fulfillment approved</b>
<b>CON 100 SHAPING SMART BUSINESS ARRANGEMENTS</b> Actual course or equivalent <sup>a</sup> (if equivalent, provide name)	
<b>CON 110 MISSION SUPPORT PLANNING</b> Actual course or equivalent (if equivalent, provide name)	
<b>CON 111 MISSION STRATEGY EXECUTION</b> Actual course or equivalent (if equivalent, provide name)	
<b>CON 112 MISSION PERFORMANCE ASSESSMENT</b> Actual course or equivalent (if equivalent, provide name)	
<b>CON 120 MISSION FOCUSED CONTRACTING</b> Actual course or equivalent (if equivalent, provide name)	
<b>Elective</b>	

<sup>a</sup> For equivalent courses, specify course provider and number of training hours (CLPs).

**FAC-C Level II (if applicable)**

<b>Course name</b>	<b>Date completed or date fulfillment approved</b>
<b>CON 214 BUSINESS DECISIONS FOR CONTRACTING</b> Actual course or equivalent <sup>a</sup> (if equivalent, provide name)	
<b>CON 215 INTERMEDIATE CONTRACTING FOR MISSION SUPPORT</b> Actual course or equivalent (if equivalent, provide name)	
<b>CON 216 LEGAL CONSIDERATIONS IN CONTRACTING</b> Actual course or equivalent?(if equivalent, provide name)	

Course name	Date completed or date fulfillment approved
<b>CON 217 COST ANALYSIS AND NEGOTIATION TECHNIQUES</b> Actual course or equivalent? (if equivalent, provide name)	
<b>CON 218 ADVANCED CONTRACTING FOR MISSION SUPPORT</b> Actual course or equivalent (if equivalent, provide name)	
<b>Approved Elective #1</b>	
<b>Approved Elective #2</b>	

<sup>a</sup> For equivalent courses, specify course provider and number of training hours (CLPs).

### FAC-C Level III (if applicable)

Course name	Date completed or date fulfillment approved
<b>CON 353 Advanced Business Solutions for Mission Support</b> Actual course or equivalent <sup>a</sup> (if equivalent, provide name)	
<b>Approved Elective #1</b>	
<b>Approved Elective #2</b>	

<sup>a</sup> For equivalent courses, specify course provider and number of training hours (CLPs).

### MANDATORY SKILLS CURRENCY

To maintain a FAC-C certification, all warranted Contracting Officers regardless of series, must earn 80 continuous learning points (CLPs) every 2 years beginning October 1, 2007. ACMs must monitor the continuous learning requirements for employees holding FAC-Cs to ensure they meet this requirement. A FAC-C certification will expire if the 80 CLPs are not earned every 2 years, and the SPE or HCA may choose to revoke or modify a warrant if this condition is not met.

Has the employee met the mandatory skills currency? Yes \_\_\_ No \_\_\_ N/A \_\_\_\_\_

(Provide documentation with your FAC-C application package that indicates that skills currency has been attained).



***(To be filled out by the employee's supervisor)***

(2) Employee's supervisor:

\_\_\_\_\_ Recommend Approval

\_\_\_\_\_ Recommend Disapproval\*

\_\_\_\_\_  
(Signature, Title and Date)

***(To be filled out by the reviewing official)***

(3) Reviewing Official:

\_\_\_\_\_ Recommend Approval

\_\_\_\_\_ Recommend Disapproval\*

\_\_\_\_\_  
(Signature, Title and Date)

***(To be filled out by the approving official)***

(4) Approving Official:

\_\_\_\_\_ Approved

\_\_\_\_\_ Disapproved\*

\_\_\_\_\_  
(Signature, Title and Date)

\*If recommended for disapproval or disapproved, please provide rationale below:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

# Appendix E—Checklists for FAC-C Certification

## CHECKLIST FOR FAC-C LEVEL I

<b>Education</b>	
Does the employee have a bachelor's degree OR at least 24 semester hours among these disciplines: accounting, law, business, finance, contracts, purchasing, economics, industrial management, marketing, quantitative methods, and organization and management?	Yes ___ No ___
<b>Training</b>	
Has the employee completed the following courses? CON 100 Shaping Smart Business Arrangements CON 110 Mission Support Planning CON 111 Mission Strategy Execution CON 112 Mission Performance Assessment CON 120 Mission Focused Contracting 1 Approved Elective	Yes ___ No ___ N/A ___ (please elaborate)
<b>Experience</b>	
Does the employee have 1 year of contracting experience?	Yes ___ No ___
<b>Skills Currency/Continuous Learning Points</b>	
To maintain a FAC-C certification, all warranted Contracting Officers, must earn 80 continuous learning points (CLPs) every 2 years beginning October 1, 2007.  Has the employee met the mandatory skills currency? (Provide documentation with your FAC-C application package that indicates that skills currency has been attained).	Yes ___ No ___
<b>Documentation checklist (for nomination package)</b>	

Is there evidence of successful completion of the required courses for a FAC-C certification Level I?	Yes ___ No ___
Does the employee have 1 year of contracting experience?	Yes ___ No ___
Is an OF 612 or resume, or equivalent, attached?	Yes ___ No ___
Is the employee's most recent performance appraisal attached?	Yes ___ No ___
Is completed FAC-C Program Application Form (Appendix D) attached? (Attach appropriate documentation, such as course completion certificates.)	Yes ___ No ___
Is proof of achievement of college degree OR 24 semester hours attached? (24 semester hours must be in a combination of the following fields: accounting, business, finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, and organization and management)?	Yes ___ No ___
Is proof of mandatory skills currency attached?	Yes ___ No ___
Is there a copy of a certificate previously issued under either DAWIA or the HHS Acquisition Certification Program indicating the employee's current certification level (if applicable)?	Yes ___ No ___

## **CHECKLIST FOR FAC-C LEVEL II**

### **Education**

Does the employee have a bachelor's degree OR at least 24 semester hours among these disciplines: accounting, law, business, finance, contracts, purchasing, economics, industrial management, marketing, quantitative methods, and organization and management? Yes \_\_\_ No \_\_\_

### **Training**

Has the employee completed the following courses: Yes \_\_\_ No \_\_\_

CON 214 Business Decisions for Contracting

CON 215 Intermediate Contracting for Mission Support

CON 216 Legal Considerations in Contracting

CON 217 Cost Analysis and Negotiation Techniques

CON 218 Advanced Contracting for Mission Support

Approved Electives

### **Experience**

Does the employee have 2 years of contracting experience? Yes \_\_\_ No \_\_\_

### **Skills Currency/Continuous Learning Points**

To maintain a FAC-C certification, all warranted Contracting Officers must earn 80 continuous learning points (CLPs) every 2 years beginning October 1, 2078. Yes \_\_\_ No \_\_\_

Has the employee met the mandatory skills currency?

(Provide documentation with your FAC-C application package that indicates that skills currency has been attained).

### **Documentation checklist (for nomination package)**

Is there evidence of successful completion of the required courses for a FAC-C certification Level II? Yes \_\_\_ No \_\_\_

Does the employee have 2 years of contracting experience? Yes \_\_\_ No \_\_\_

Is an OF 612 or resume, or equivalent, attached? Yes \_\_\_ No \_\_\_

Is the employee's most recent performance appraisal attached? Yes \_\_\_ No \_\_\_

Is a completed FAC-C Program Application form attached (Appendix D)? (Attach appropriate documentation, such as course completion certificates.) Yes \_\_\_ No \_\_\_

Is proof of achievement of college degree OR 24 semester hours attached? (24 semester hours must be in a combination of the following fields: accounting, business, finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, or organization and management) Yes \_\_\_ No \_\_\_

Is proof of mandatory skills currency attached? Yes \_\_\_ No \_\_\_

Is there a copy of a certificate previously issued under either DAWIA or the HHS Acquisition Certification Program indicating the employee's current certification level (if applicable)? Yes \_\_\_ No \_\_\_

## CHECKLIST FOR FAC-C LEVEL III

### Education

Does the employee have a bachelor's degree AND at least 24 semester hours among these disciplines: accounting, law, business, finance, contracts, purchasing, economics, industrial management, marketing, quantitative methods, and organization and management? Yes \_\_\_ No \_\_\_

### Training

Has the employee completed the following courses? Yes \_\_\_ No \_\_\_

CON 353 Advanced Business Solutions for Mission Support

2 Electives

### Experience

Does the employee have 4 years of contracting experience? Yes \_\_\_ No \_\_\_

### Skills Currency/Continuous Learning Points

To maintain a FAC-C certification, all warranted Contracting Officers, must earn 80 continuous learning points (CLPs) every 2 years beginning October 1, 2007.

Has the employee met the mandatory skills currency?

(Provide documentation with your FAC-C application package that indicates that skills currency has been attained.) Yes \_\_\_ No \_\_\_

### Documentation checklist (for nomination package)

Is there evidence of successful completion of the required courses for a FAC-C Certification Level III? Yes \_\_\_ No \_\_\_

Does the employee have 4 years of contracting experience? Yes \_\_\_ No \_\_\_

Is an OF 612 or resume, or equivalent, attached? Yes \_\_\_ No \_\_\_

Is the employee's most recent performance appraisal attached? Yes \_\_\_ No \_\_\_

Is completed FAC-C Program Application form (Appendix D) attached? (attach appropriate documentation, such as course completion certificates). Yes \_\_\_ No \_\_\_

Is proof of achievement of college degree AND 24 semester hours attached? (24 semester hours must be in a combination of the following fields: accounting, business, finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, or organization and management) Yes \_\_\_ No \_\_\_

Is proof of mandatory skills currency attached? Yes \_\_\_ No \_\_\_

Is there a copy of a certificate previously issued under either DAWIA or the HHS Acquisition Certification Program indicating the employee's current certification level (if applicable)? Yes \_\_\_ No \_\_\_

# Appendix F—Simplified Acquisition Certificate Application Form

## Memorandum

TO: (Reviewing Official's name and title)

FROM: (Employee's name and title)

THROUGH: (Employee's supervisor's name and title)

SUBJECT: Request for Simplified Acquisition Certification

I am submitting this form and the attached supporting documentation as my application for SAC Level \_\_\_\_\_ (A or B)

Supporting documentation consists of:

- Training certificates and/or previous Acquisition Certificate, e.g., DAWIA, HHS, other agency FAC-C
- OF 612 or Resume
- Most recent performance appraisal
- Proof of mandatory skills currency.

### **(To be filled out by the employee)**

(1) Employee information:

Title, series, grade

Office

E-mail address

### **Experience:**

#### **SAC-A Certification**

Minimum 6 months of hands-on experience in simplified acquisition.

Yes \_\_\_ No \_\_\_



### SAC-B Certification

Minimum of 1 year of experience in simplified acquisition, 6 months of which must be hands-on experience in simplified acquisition.

Yes \_\_\_ No \_\_\_

#### Training requirements:

Attach all certificates for applicable courses to the SAC application package and send the entire package to the OPDIV Acquisition Career Manager.

Method of Completion (Check appropriate space and complete applicable information). For course equivalencies, see Appendix D of the DAU Catalog ([http://www.dau.mil/catalog/cat2007/DAU\\_2007\\_Catalog.pdf](http://www.dau.mil/catalog/cat2007/DAU_2007_Catalog.pdf)).

### SAC-A Certification

Course name	Date completed or date fulfillment approved
<b>Basic Simplified Acquisition Procedures or DAU's CON 237</b> Actual course or equivalent <sup>a</sup> (if equivalent provide name)	
<b>Advanced Simplified Acquisition Procedures Or Appropriations Law</b> Actual course or equivalent (if equivalent provide name)	

<sup>a</sup> For equivalent courses, specify the course provider and number of training hours (CLPs).

### SAC-B Certification (if applicable)

(In addition to the training required under SAC-A, the following courses or their equivalents are required:)

Course name	Date completed or date fulfillment approved
<b>CON 100 SHAPING SMART BUSINESS ARRANGEMENTS</b> Actual course or equivalent <sup>a</sup> (if equivalent, provide name)	
<b>CON 110 MISSION SUPPORT PLANNING</b> Actual course or equivalent <sup>a</sup> (if equivalent, provide name)	

<sup>a</sup> For equivalent courses, specify the course provider and number of training hours (CLPs).

### MANDATORY SKILLS CURRENCY

To maintain a SAC certification, GS-1105s, GS-1106s, and non-GS-1100 series warranted Contracting Officers are required to earn 40 continuous learning points (CLPs) every 2 years beginning October 1, 2007. OPDIV ACMs must monitor the continuous learning requirements for employees holding SAC certification to ensure they meet this requirement. A SAC will expire if the 40 CLPs are not earned every 2 years, and an associated certification and warrant shall be considered invalid. Expired warrants shall be returned to the HCA.

Has the employee met the mandatory skills currency? Yes \_\_\_ No \_\_\_ N/A \_\_\_\_\_

(Provide documentation with your SAC certification application package that indicates that skills currency has been attained.)

***(To be filled out by the employee's supervisor)***

(2) Employee's supervisor:

\_\_\_\_\_ Recommend Approval

\_\_\_\_\_ Recommend Disapproval\*

---

(Signature, Title and Date)

***(To be filled out by the reviewing official)***

(3) Reviewing Official:

\_\_\_\_\_ Recommend Approval

\_\_\_\_\_ Recommend Disapproval\*

---

(Signature, Title and Date)

***(To be filled out by the approving official)***

(4) Approving Official:

\_\_\_\_\_ Recommend Approval

\_\_\_\_\_ Recommend Disapproval\*

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(Signature, Title and Date)

\*If recommended for disapproval or disapproved, please provide rationale below:

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# Appendix G—Checklists for Simplified Acquisition Certification

## CHECKLIST FOR HHS SIMPLIFIED ACQUISITION CERTIFICATE A

### Training

Has the employee completed the following courses: Yes \_\_\_ No \_\_\_

Basic Simplified Acquisition Procedures or DAU's CON 237  
Advanced Simplified Acquisition Procedures or Appropriations Law

### Experience

Does the employee have a minimum 6 months of hands-on experience in simplified acquisition? Yes \_\_\_ No \_\_\_

### Skills Currency/Continuous Learning Points

To maintain an HHS SAC certification, GS-1105s, GS-1106s, and non-1100 series warranted Contracting Officers are required to earn 40 continuous learning points (CLPs) of skills currency training every 2 years beginning October 1, 2007.

Has the employee met the mandatory skills currency? (Provide documentation with your SAC application package that indicates that skills currency has been attained.) Yes \_\_\_ No \_\_\_  
N/A \_\_\_ (please elaborate)

### Satisfactory Performance Evaluation

Has the employee received a satisfactory performance evaluation for the past year? Yes \_\_\_ No \_\_\_

### Documentation checklist (for application package)

Is there evidence of successful completion of the required courses for an HHS Simplified Acquisition Certificate A? Yes \_\_\_ No \_\_\_

Is there evidence that the employee has 1 year of experience in the GS-1102, GS-1105, GS-1106, or other series having signature authority for simplified acquisitions, six (6) months of which includes hands-on experience in simplified acquisition procedures? Yes \_\_\_ No \_\_\_

Is an OF 612 or resume attached? Yes \_\_\_ No \_\_\_

Is the employee's most recent performance appraisal attached? Yes \_\_\_ No \_\_\_

Is completed SAC Program Application Form) (Appendix F) attached? (Attach appropriate documentation, such as course completion certificates.) Yes \_\_\_ No \_\_\_

## CHECKLIST FOR HHS SIMPLIFIED ACQUISITION CERTIFICATE B

### Training

Has the employee completed the following courses: Yes \_\_\_ No \_\_\_

Basic Simplified Acquisition Procedures or DAU's CON 237  
Advanced Simplified Acquisition Procedures or Appropriations Law  
CON 100 (Shaping Smart Business Arrangements)  
CON 110 (Mission Support Planning)

### Experience

Does the employee have a minimum of 1 year of experience in simplified acquisition, 6 months of which must be hands-on experience in simplified acquisition? Yes \_\_\_ No \_\_\_

### Skills Currency/Continuous Learning Points

To maintain an HHS SAC, GS-1105s, GS-1106s, and non-1100 series warranted Contracting Officers are required to earn 40 continuous learning points (CLPs) of skills currency training every 2 years beginning October 1, 2007.

Has the employee met the mandatory skills currency? Yes \_\_\_ No \_\_\_  
N/A \_\_\_ (please elaborate)  
(Provide documentation with your SAC application package that indicates that skills currency has been attained.)

### Satisfactory Performance Evaluation

Has the employee received a satisfactory performance evaluation for the past year? Yes \_\_\_ No \_\_\_

### Documentation checklist (for application package)

Is there evidence of successful completion of the required courses for an HHS Simplified Acquisition Certificate B? Yes \_\_\_ No \_\_\_

Is there evidence that the employee has 2 years of experience in the GS-1102, GS-1105, GS-1106, or other series having signature authority for simplified acquisitions, 6 months of which includes hands-on experience in small purchases/simplified acquisition procedures? Yes \_\_\_ No \_\_\_

Is an OF 612 or resume attached?

Yes \_\_\_ No \_\_\_

Is the employee's most recent performance appraisal attached?

Yes \_\_\_ No \_\_\_

Is completed SAC Program Application form (Appendix F) attached? (Attach appropriate documentation, such as course completion certificates.)

Yes \_\_\_ No \_\_\_