

| | | | | | |
|---|---------------------------------------|-------------------------------------|---|---------------|-----------------------------|
| AMENDMENT OF SOLICITATION / MODIFICATION OF CONTRACT | | | 1. Contract Number | Page of Pages | |
| | | | | 1 | 4 |
| 2. Amendment/Modification Number 0001 | 3. Effective Date May 14, 2007 | 4. Requisition/Purchase Request No. | 5. Solicitation Caption Document Management System | | |
| 6. Issued by: Office of Contracting and Procurement 441 4 th Street, NW, Suite 700S Washington D.C. 20001 | | Code | 7. Administered by (If other than line 6) Office of Contracting and Procurement Group IX 441 4 th Street, NW, Suite 700S Washington D.C. 20001 | | |
| 8. Name and Address of Contractor (No. street, city, county, state and zip code) | | X | 9A. Amendment of Solicitation No. DCPO-2007-I-0046 | | |
| Code | | | 9B. Dated (See Item 11) April 30, 2007 | | |
| Facility | | | 10A. Modification of Contractor/Order No. | | |
| | | | 10B. Dated (See Item 13) | | |
| 11. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATIONS | | | | | |
| <input checked="" type="checkbox"/> The above numbered solicitation is amended as set forth in item 14. The hour and date specified for receipt of Offers <input checked="" type="checkbox"/> is extended. <input type="checkbox"/> is not extended. Offers must acknowledge receipt of this amendment prior to the hour and date specified in the solicitation or as amended, by one of the following methods: (a) By completing Items 8 and 15, and returning <u>1</u> copies of the amendment; (b) By acknowledging receipt of this amendment on each copy of the offer submitted; or (c) BY separate letter or fax which includes a reference to the solicitation and amendment number. FAILURE OF YOUR ACKNOWLEDGMENT TO BE RECEIVED AT THE PLACE DESIGNATED FOR THE RECEIPT OF OFFERS PRIOR TO THE HOUR AND DATE SPECIFIED MAY RESULT IN REJECTION OF YOUR OFFER. If by virtue of this amendment you desire to change an offer already submitted, such may be made by letter or fax, provided each letter or telegram makes reference to the solicitation and this amendment, and is received prior to the opening hour and date specified. | | | | | |
| 12. Accounting and Appropriation Data (If Required) | | | | | |
| 13. THIS ITEM APPLIES ONLY TO MODIFICATIONS OF CONTRACTORS/ORDERS , IT MODIFIES THE CONTRACT/ORDER NO. AS DESCRIBED IN ITEM 14 | | | | | |
| A. This change order is issued pursuant to (Specify Authority): The changes set forth in Item 14 are made in the contract/order no. in item 10A. | | | | | |
| B. The above numbered contract/order is modified to reflect the administrative changes (such as changes in paying office, appropriation data etc.) set forth in item 14, pursuant to the authority of 27 DCMR, Chapter 36, Section 3601.2. | | | | | |
| C. This supplemental agreement is entered into pursuant to authority of: 27 DCMR Section 3601.2 (c) | | | | | |
| D. Other (Specify type of modification and authority) | | | | | |
| E. IMPORTANT: Contractor <input type="checkbox"/> is not <input type="checkbox"/> is required to sign this document and return <u>1</u> copies to the issuing office. | | | | | |
| 14. Description of Amendment/Modification (Organized by UCF Section headings, including solicitation/contract subject matter where feasible.) Solicitation No. DCPO-2007-I-0046 is hereby amended as followed: 1. Submission date of all proposals is hereby extended from 2:00 p.m. local time May 14, 2007 to 2:00 p.m. on May 16, 2007. 2. Responses to Offeror's Questions are provided on page 2-4. | | | | | |
| Except as provided herein, all terms and conditions of the document is referenced in Item 9A or 10A remain unchanged and in full force and effect. | | | | | |
| 15A. Name and Title of Signer (Type or print) | | | 16A. Name of Contracting Officer Gena Johnson | | |
| 15B. Name of Contractor (Signature of person authorized to sign) | | 15C. Date Signed | 16B. District of Columbia (Signature of Contracting Officer) | | 16C. Date Signed 5/15/07 |

| CONTINUATION SHEET AMENDMENT OF SOLICITATION / MODIFICATION OF CONTRACT | | | Contract Number | Page of Pages | |
|--|-------------------|-------------------------------------|----------------------------|---------------|---|
| | | | | 2 | 4 |
| 2. Amendment/Modification Number | 3. Effective Date | 4. Requisition/Purchase Request No. | 5. Solicitation Caption | | |
| 0001 | May 14, 2007 | | Document Management System | | |

QUESTIONS & ANSWERS

1. How many prior years of transactions will be required for the new system for Current/Open contract files, Closed files and files Ready for destruction?

Refer to section C.2 of the Statement of Work second paragraph. There may be up to 3 to 7 years depending on the Retention Schedule.

2. If there are prior years of transactions required for the new system, what is the approximate volume of transactions for each of those years?

FY 05

Small Purchases - Transactions: 17,900

Large Purchases - Transactions: 1,241

FY 06

Small Purchases - Transactions: 17,650

Large Purchases – Transactions: 1,313

FY 07 (Fiscal Year –to-date)

Small Purchases - Transactions 9,351

Large Purchases - Transactions: 937

3. For files slated for physical destruction, will their online digital counterparts be deleted, retained for on-line access or retained for off-line (e.g., tape or CD-R) per-request access?

The SOW states that "The contractor database must be compatible with industry standards for relational database management systems (RDBMS) and compatible with the implementation of additional administrative services modernization program (ASMP) modules."

Small purchase files are retained online via PASS. Large contract files funding data are retained online via PASS; however no file content is retained via PASS at this time. All PASS data is archived in accordance with District government retention schedules. An in-house schedule is maintained for contract files that have reached their retention schedule.

4. Does the Office of Contracting and Procurement have or currently use a preferred database software product?

The Office of Contracting and Procurement does not have or currently use a preferred database software product for document management. Any database proposed must be compatible with Ariba contracts and sourcing modules.

5. Based on the goals of ASMP, will there be a requirement to integrate the proposed Document Management System into other agency systems to either pass data to or collect data from those systems to minimize information redundancy and increase information consistency across DC government agencies?

| CONTINUATION SHEET AMENDMENT OF SOLICITATION / MODIFICATION OF CONTRACT | | | Contract Number | Page of Pages | |
|--|-------------------|-------------------------------------|----------------------------|---------------|---|
| | | | | 3 | 4 |
| 2. Amendment/Modification Number | 3. Effective Date | 4. Requisition/Purchase Request No. | 5. Solicitation Caption | | |
| 0001 | May 11, 2007 | | Document Management System | | |

Yes; there will be an integration requirement for the system to be compatible with the proposed integration of the Ariba contract and sourcing modules.

6. Based on the goals of ASMP, will existing Office of Contracting and Procurement processes be migrated to the new automated Document Management system or will existing Office of Contracting and Procurement processes be refined, enhanced and improved and the new automated system aligned to those process improvements?

Business processes and procedures will have to be developed to align with the new automated requirements of the proposed implementation of the Ariba modules.

7. C.3.2.1 states that "The contractor may utilize existing resources (database applications, reports, manually maintained records, etc.), to capture and validate completeness of inventory." Will Office of Contracting and Procurement resources knowledgeable about the information content be available to assist in this in validating existing contract data prior-to and after uploading the data?

Yes, the OCP resources will be available.

8. C.3.2.2 outlines some of the technical capabilities required for the proposed Document Management System. Are their (there) specific information technology and government industry standards and best practices that the agency must have incorporated into the new application for the web interface, search functionality, data record access/update, data and contract document archival, application security, data security, user security, and RFID?

Yes, must conform to ARIBA industry standards of document management platform proposed for the contracts module. Best practices should include, but not be limited to search functionality, data record access/update, data and contract document archival, application security, data security, user security. RFID is not proposed at this time.

9. C.3.2.5 states that "The contractor shall be responsible for packing up and labeling of existing files, at OCP-HQ only, in a manner that will allow for easy retrieval of the files while the file room equipment is being installed." What is scheduled date that the new file room equipment will be ready and available for use?

The date is not currently available

10. C.3.2.6 states that "The contractor shall provide database technical support, post maintenance and enterprise license." Based on existing agency Service Level Agreements for contracted applications, what is the expected response time and problem resolution for technical support and will technical support be required on-site, off-site or both?

Technical support could be on-site and off-site. The respondent should provide its standard response in its response to the solicitation.

| CONTINUATION SHEET AMENDMENT OF SOLICITATION / MODIFICATION OF CONTRACT | | | Contract Number | Page of Pages | |
|--|-------------------|-------------------------------------|----------------------------|---------------|---|
| | | | | 4 | 4 |
| 2. Amendment/Modification Number | 3. Effective Date | 4. Requisition/Purchase Request No. | 5. Solicitation Caption | | |
| 0001 | May 11, 2007 | | Document Management System | | |

11. C.3.3.2 states that "The contractor shall provide training on the database system application to OCP staff in accordance with the approved project schedule." Should this training include administration and basic troubleshooting of the Document Management System?

Yes, training should include administration and basic trouble shooting.

12. Also for C.3.3.2, should training be provided at the Office of Contracting and Procurement facilities or contractor facilities?

Training will be provided at OCP facilities.

13. DC General Retention Schedules (1985) and OCP File Maintenance Policy (2007) will have a direct bearing on the level of effort that will be required to complete this project. Will these documents be made available so that the requirements contained therein can be incorporated into a respondent's estimates of Staffing, Resources and Pricing?

Yes, they are attached to this amendment as Attachments A and B

14. Does OCP have separate estimates of the number of Purchase Orders and Contract files that will have to be inventoried?

Refer to C.2, Second paragraph and the response to question 2 above

15. Is it anticipated that the PASS upgrade will be completed prior to commencement of work under this proposal?

No, the full implementation of the contracts and sourcing modules is slated for FY 2009 (Oct 1, 2008)

16. If an RFP is issued on a full and open competitive basis, will pricing preferences still be awarded to LSDBE's?

Yes, preference points will still apply.

DISTRICT OF COLUMBIA GENERAL RECORDS SCHEDULE 3

Procurement, Supply, and Grant Records

This schedule covers the most frequently found agency records relating to procurement, supply, and grant programs. Since many District agencies conduct grant programs which document projects contracted between the agency and an outside party, grant records are included as an adjunct to procurement and supply records. This schedule also covers bid records, inventory records, telephone toll records, and contractors' payroll records.

D.C. government agency procurement and supply records document the acquisition of goods and nonpersonal services, controlling the volume of stock on hand, reporting procurement needs, and related supply matters which are part of daily procurement operations. The basic procurement files reflect a considerable range of procedure, from simple small purchases to complicated prime contractor and subcontractor operations.

Frequently copies of procurement papers become integral parts of other files in the agency, such as project files of various types or general subject files pertaining to program operations. Such copies are not covered by this schedule because they cannot be considered and evaluated separately from the files for which they are a part.

The General Accounting Office no longer requires agencies to maintain a separate file of contracts for site audit. The agency contract files maintained in the contracting officer's office are accessible to GAO auditors and have generally been used in the past.

In no event may disposal be made of records pertaining to accounts, claims or demands involving the U.S. government which have not yet been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by 44 U.S.C. 3309.

Records documenting procurement and supply in agencies are largely standardized by various regulations, but the physical arrangement of the transaction files themselves differs in the various agencies. In all agencies the official contract files, for example, contain a minimum core of specified documents, but there are also other documents that vary in accordance with what the individual agency deems to be best for its own operating purposes.

The key procurement file is the transaction case file containing the formal contract or informal purchase order or lease instruments and all related papers. The documents flowing into the transaction file differ in detail, but they include, in addition to the purchase documents, specifications, bids, schedules of delivery, initiating requisitions, invoices, and correspondence. Other copies of these documents, made for expediting and other administrative purposes, are scattered throughout the inspection, shipping, expediting, and other units of the agency procurement organization.

Other files related to the procurement and supply function include reports used for supply management purposes by the agency creating the records as well as the staff agency involved with government-wide programs, local requisition, stock inventory files, and other minor supply papers.

Records created prior to January 1, 1921, must be offered to the D.C. Archives before applying the disposition instructions set forth in this schedule.

This general records schedule was approved by the Board of Commissioners on January 26, 1965.

DISTRICT OF COLUMBIA GENERAL RECORDS SCHEDULE 3

| ITEM | DESCRIPTION | AUTHORIZED DISPOSITION |
|------|--|--|
| 1. | Procurement Records (Unique). Procurement files documenting the initiation and development of transactions that deviate from established precedents with respect to general agency procurement programs, other than those covered by Item 13 (below). | Submit request for disposition authority to D.C. Archives. |
| 2. | Real Property Records. Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise). a. Papers for property acquired prior to January 1, 1921. b. Papers for property acquired since January 1, 1921, other than abstract or certificate of title. c. Abstract or certificate of title. | Submit request for disposition authority to D.C. Archives. Destroy 10 years after unconditional sale or release by the D.C. government of conditions, restrictions, mortgages or other liens. Transfer to purchaser after unconditional sale or release by the D.C. government of conditions, restrictions, mortgages, or other liens. |
| 3. | General Correspondence Files. Correspondence files of operating procurement units concerning internal operation and administration matters not covered elsewhere in the DCGRS. | Destroy when 2 years old. |
| 4. | Routine Procurement Records. Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in Items 1, 2, 13, and 15). a. Procurement or purchase organization copy, and related papers. 1) Transactions of more than \$10,000 and all construction contracts exceeding \$2,000. | Destroy 6 years and 3 months after final payment. |

DISTRICT OF COLUMBIA GENERAL RECORDS SCHEDULE 3

| ITEM | DESCRIPTION | AUTHORIZED DISPOSITION |
|------|---|--|
| | <ul style="list-style-type: none"> 2) Transactions of \$10,000 or less and construction contracts under \$2,000. | <p>Destroy 3 years after final payment. (Close file at the end of the fiscal year, retain 3 years and destroy, except that files on which actions are pending shall be brought forward to the next fiscal year's files for destruction therewith.)</p> |
| | <ul style="list-style-type: none"> b. Obligation copy. | <p>Destroy when funds are obligated.</p> |
| | <ul style="list-style-type: none"> c. Other copies of records described above used by component elements of a procurement office for administrative purposes. | <p>Destroy upon termination or completion.</p> |
| 5. | <p>Supply Management File</p> <p>Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature).</p> | |
| | <ul style="list-style-type: none"> a. Copies received from other units for internal purposes or for transmission to staff agencies. | <p>Destroy when 2 years old.</p> |
| | <ul style="list-style-type: none"> b. Copies in other reporting units, and related work papers. | <p>Destroy when 1 year old.</p> |
| 6. | <p>Solicited and Unsolicited Bids and Proposals Files.</p> | |
| | <ul style="list-style-type: none"> a. Successful bids and proposals. | <p>Destroy with related contract case files (see Item 4 of this schedule).</p> |
| | <ul style="list-style-type: none"> b. Solicited and unsolicited unsuccessful bids and proposals. <ul style="list-style-type: none"> 1) When filed separately from contract case files. 2) When filed with contract case files. | <p>Destroy when related contract is completed.</p> <p>Destroy with related contract case files (see Item 4 of this schedule).</p> |
| | <ul style="list-style-type: none"> c. Cancelled solicitations files. <ul style="list-style-type: none"> 1) Formal solicitations of offers to provide products or services (e.g., Invitations for Bids, Requests for Proposals, Requests for Quotations) which were cancelled prior | |

DISTRICT OF COLUMBIA GENERAL RECORDS SCHEDULE 3

| ITEM | DESCRIPTION | AUTHORIZED DISPOSITION |
|------|--|---|
| | to award of a contract. The files include presolicitation documentation on the requirement, any offers which were opened prior to the cancellation, documentation on any government action up to the time of cancellation, and evidence of the cancellation. | Destroy 5 years after date of cancellation. |
| | 2) Unopened bids. | Return to bidder. |
| | d. Lists or card files of acceptable bidders. | Destroy when superseded or obsolete. |
| 7. | Public Printer Records. Records relating to requisitions on the Printer, and all supporting papers. | |
| | a. Printing procurement unit copy of requisition, invoice, specifications, and related papers. | Destroy 3 years after completion or cancellation of requisition. |
| | b. Accounting copy of requisition. | Destroy 3 years after period covered by related account. |
| 8. | Nonpersonal Requisition File Records. Requisitions for nonpersonal services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts. See DCGRS 6). | Destroy when 1 year old. |
| 9. | Inventory Requisition File Records. Requisitions for supplies and equipment for current inventory. | |
| | a. Stockroom copy. | Destroy 2 years after completion or cancellation of requisition. |
| | b. All other copies. | Destroy when 6 months old. |
| 10. | Inventory Files. a. Inventory lists. | Destroy 2 years from date of list. |
| | b. Inventory cards. | Destroy 2 years after discontinuance of item, or 2 years after stock balance is transferred to new card or recorded under |

| ITEM | DESCRIPTION | AUTHORIZED DISPOSITION |
|------|--|---|
| | | a new classification, or 2 years after equipment is removed from agency control. |
| | c. Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the DCGRS. | Destroy 2 years after date of survey action or date of posting of posting medium. |
| 11. | Telephone Records. Telephone statements and toll slips. | Destroy 3 years after period covered by related account. |
| 12. | Contractor's Payroll Files. Contractor's payrolls (construction contracts) submitted in accordance with Labor Dept. regulations, with related certifications, anti-kickback affidavits, and other related papers. | Destroy 3 years after date of completion of contract unless contract performance is subject of enforcement action on such date. |
| 13. | Tax Exemption Files. Tax exemption certificates and related papers. | Destroy 3 years after period covered by related account. |
| 14. | Grant Application File Records. Applications, memorandums, correspondence and other records relating to the decision to accept or reject grant applications. a. Rejected applications. b. Accepted applications. | Destroy 5 years after rejection. See Item 15 of this schedule. |
| 15. | Grant Case File Records. Proposals or applications, contracts, project reports, studies, certificates, agreements, memoranda, correspondence, and other records relating to receipt, review, award, evaluation, status and monitoring of grants; allocation of funds, and project budgets. | Submit request for disposition authority to D.C. Archives. |
| 16. | Grant Control File Records. Indexes, registers, logs or other records | |

DISTRICT OF COLUMBIA GENERAL RECORDS SCHEDULE 3

| ITEM | DESCRIPTION | AUTHORIZED DISPOSITION |
|------|--|--|
| | relating to control of assigning numbers or identifying projects, applications and grants. | Destroy when superseded or obsolete. |
| 17. | Grant Correspondence and Subject Records. | |
| | a. Correspondence and/or subject files including memorandums, studies, reports, forms and other records relating to the legal establishment of the grant program, its policies and basic procedures and the management and evaluation of grants. | Submit request for disposition authority to D.C. Archives. |
| | b. Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program. | Destroy when 2 years old. |
| 18. | Final Product File Records. | |
| | Published reports, books, studies, audio-visual materials, or any other final grant product and related records in textual or machine-readable form. | Submit request for disposition authority to D.C. Archives. |



OCP Directive No. 1101.00
Effective Date: March 30, 2007
Expiration: Until Rescinded
Page 1 of 4

PROCUREMENT POLICY & PROCEDURE DIRECTIVE

SUBJECT: CONTRACT FILE PREPARATION GUIDELINES

ORIGINATING OFFICE: Office of the Director

1. **PURPOSE:** The purpose of this Policy and Procedure Directive (Directive) is to establish and implement guidelines to ensure that the required documents are included in all Office of Contracting and Procurement (OCP) contract files.
2. **AUTHORITY:** This Directive is being promulgated pursuant to:
 - 2.1 Section 202 of the District of Columbia Procurement Practices Act of 1985, effective February 21, 1986 (D.C. Law 6-85; D.C. Official Code §2-302.02).
 - 2.2 Chapter 12, Title 27 DCMR.
3. **APPLICABILITY:**
 - 3.1 This Directive shall apply to agency personnel (employees, contractors, consultants, volunteers), responsible for maintaining a contract file within the Office of Contracting and Procurement.
 - 3.2 All contracting personnel (Contracting Officers and Contract Specialists) have the responsibility for overall contract file maintenance and monitoring. Accuracy and completeness of contract files will be an evaluation factor in all annual contracting personnel performance evaluations.
4. **POLICY AND PROCEDURE STATEMENT:**
 - 4.1 **General Rule.**
 - 4.1.1 Each contract file shall include all relevant contract documents and shall be maintained, for a contract exceeding the small purchase threshold, in a six-part contract file folder. For transactions less than the small purchase threshold, the contract file documents shall be maintained in single or 2-part contract file folders.

4.1.2 All 6-part contract file folders shall contain the following:

- a. Contract File Cover Sheet;
- b. Contract File Index; and
- c. All relevant documents listed in the Contract File Index.

4.1.3 All single or 2-part contract file folders shall contain the Small Purchase Index.

4.1.4 All contract files shall be maintained in a safe, confidential and secure manner.

4.2 Instructions for Completing the 6-Part Contract File Cover Sheet Label.

4.2.1 The Contracting Officer shall ensure that the Contract File Cover Sheet label will be:

- a. Filled out by identifying all applicable information;
- b. Completed for each folder if more than one folder is used;
- c. Printed on an adhesive laser printer label; and
- d. Affixed to the front of each contract file folder.

4.3 Instructions for Completing the Single or 2-Part Contract File

4.3.1 The Contracting Officer shall ensure that the single or 2-Part Contract File is identified, on the side tab of the file folder, with the following information:

- a. Fiscal Year
- b. Requisition Number
- c. Purchase Order Number
- d. Vendor Name

4.3.2 The small purchase cover sheet may contain optional information at the discretion of the Contracting Officer. This information should also be captured within the contents of the small purchase contract file.

4.4 Instructions for Using the Contract File and Small Purchase Index.

- 4.4.1 For transactions greater than \$100,000, the contract file documents are maintained in a 6-part contract file folder as referenced in Parts I through VI of the Contract File Index.
- 4.4.2 Each Contract File Index (Index) sheet is affixed, in numerical ascending order (i.e., 1, 2, 3, etc.), to the front of each contract file section.
- 4.4.3 For transactions of \$100,000 or less, the contract file documents are maintained in a single or 2-part contract file folder as referenced in the Small Purchase Index.

4.5 Instructions for Completing the Contract File and Small Purchase Index

- 4.5.1 The Contracting Officer shall ensure that the Index is filled out completely.
- 4.5.2 The assigned Contract Specialist will validate the information by dating and initialing each entry.
- 4.5.3 If a document is not required to be included in the contract file folder, a notation of "n/a" (i.e., not applicable) shall be placed at the right side, (under the date column), of the Index Sheet. The assigned Contract Specialist will validate the information by dating and initialing the "n/a" entry.

4.6 Instructions for Maintaining and Securing Contract Files

- 4.6.1 The contract file is maintained by the agency personnel to whom it is assigned.
- 4.6.2 The assigned agency personnel will maintain the contract file in a safe and secure manner. The contract file should be secured if the person is away from his or her desk for an extended period of time (e.g., breaks, lunch, meetings, training, scheduled leave, evenings and weekends, or Holidays).

4.6.3 The Contracting Officer, shall by signing the Index Sheet, provide the final validation of the contents of the contract file five (5) days after contract award, as well as prior to the contract file going forward for any reviews, requests for approval (e.g., OAG review, Council approval, PRC) or litigation.

4.7 **Office of Contracting and Procurement Intranet.**

4.7.1 Copies of the Contract File Preparation Guidelines may be obtained by visiting the OCP Intranet site at <http://www.ocp.in.dc.gov>.

5. **APPENDICES:**

5.1 **Appendix A:** Contract File Cover Sheet

5.2 **Appendix B:** Small Purchase Cover Sheet Guidelines

5.2 **Appendix C:** Contract File Index (6-Part)

5.3 **Appendix D:** Small Purchase Index (Single or 2-Part)

6. **AMENDS OR SUPERSEDES:** No other Directive is being amended, superseded or repealed by this Directive, OCPD 1101.00.

7. **EFFECTIVE DATE:** This Directive shall become effective on the date of issuance.

8. **EXPIRATION DATE:** This Directive shall be in effect until rescinded.



OSCAR S. RODRIGUEZ
Interim Chief Procurement Officer
Office of Contracting and Procurement

3/28/07

DATE

OCPD 1101.00
Appendix A

“Contract File Cover Sheet”
6-Part



CONTRACT FILE COVER SHEET

INVITATION FOR BIDS

REQUEST FOR PROPOSALS

Solicitation No: _____

Opening Date: _____

Closing Date: _____

USER AGENCY: _____

Open Market

Emergency

Set-Aside

DCSS

Set Aside with Subcontracting
Set Aside

Open Market with Set-Aside

Request for Qualifications

IDIQ

Sole Source

Other – GSA/COG/TO/DO/Human Care

Contract No.: _____

Contractor: _____

Purchase Order No.: _____

Award Date: _____

POC Name: _____

Expiration Date: _____

Address: _____

Award Amount: _____

Suite No.: _____

Number of Options: _____

City/State/ZC: _____

Telephone No.: _____

COTR Designee: _____

Telephone Number: _____

Description (e.g., Supplies, Services, Construction): _____

Contract Specialist: _____

Phone No.: _____

Contracting Officer: _____

Phone No.: _____

COMMENTS: _____

VOLUME () OF ()

OCPD 1101.00
Appendix B

***“Small Purchase Cover Sheet Guidelines”
Single or 2-Part***



OFFICE OF CONTRACTING AND PROCUREMENT

SMALL PURCHASE COVER SHEET GUIDELINES

This cover sheet should only be used for single or two (2) part file folders and all transactions less than \$100,000

SIDE TAB OF SINGLE OR TWO PART FOLDER:

Fiscal Year; Requisition Number (RQ); Purchase Order Number (PO); Vendor Name

Optional:

Description (Services/Goods): _____

Contract Number: _____

Market Type: _____

Award Date: _____

Expiration Date: _____

Vendor Name: _____

Dollar Amount: _____

User Agency: _____

Contracting Officer: _____

Contract Specialist: _____

Comments: _____

OCPD 1101.00
Appendix C

“Contract File Index”
6-Part

**OFFICE OF CONTRACTING AND PROCUREMENT
CONTRACT FILE INDEX**

PART I – PRE-SOLICITATION/SOLICITATION

| In File | Attachment | Documentation | Date/Initial |
|--------------------------|-------------------|---|---------------------|
| <input type="checkbox"/> | 1. | Requisition/P.O. | ____/____ |
| <input type="checkbox"/> | 2. | SOW/Specs | ____/____ |
| <input type="checkbox"/> | 3. | Government Cost Estimate | ____/____ |
| <input type="checkbox"/> | 4. | Sole Source Justification | ____/____ |
| <input type="checkbox"/> | 5. | OCTO Approval (PIF Form) | ____/____ |
| <input type="checkbox"/> | 6. | Source Selection Plan (optional) | ____/____ |
| <input type="checkbox"/> | 7. | Market Research and Analysis | ____/____ |
| <input type="checkbox"/> | 8. | Determination & Findings (e.g., RFP, Multi-Year, DCSS, GSA, Sole Source, Letter Contract) | ____/____ |
| <input type="checkbox"/> | 9. | Pre-Solicitation Notices | ____/____ |
| <input type="checkbox"/> | 10. | Bidder's List | ____/____ |
| <input type="checkbox"/> | 11. | Screen Print Out of Debarred Suspended and Ineligible List | ____/____ |
| <input type="checkbox"/> | 12. | PRC/Legal Review | ____/____ |
| <input type="checkbox"/> | 13. | All Pre-Bid/Proposal Conference Data | ____/____ |
| <input type="checkbox"/> | 14. | Solicitation Cancellation Determination | ____/____ |
| <input type="checkbox"/> | 15. | IFB/RFP/RFQ/HCA, and Amendment | ____/____ |
| <input type="checkbox"/> | 16. | Miscellaneous | ____/____ |
| <input type="checkbox"/> | 17. | Other | ____/____ |

**OFFICE OF CONTRACTING AND PROCUREMENT
CONTRACT FILE INDEX**

PART II – EVALUATION/SELECTION

| In File | Attachment | Documentation | Date/Initial |
|--------------------------|-------------------|---|---------------------|
| <input type="checkbox"/> | 1. | Receipt of Bids/Quotes/Proposals and Accompanying Delivery Verification | _____/____ |
| <input type="checkbox"/> | 2. | Bid Abstract/List of Proposals | _____/____ |
| <input type="checkbox"/> | 3. | Late Bid | _____/____ |
| <input type="checkbox"/> | 4. | Documentation Relating to Mistakes Before Award | _____/____ |
| <input type="checkbox"/> | 5. | Instructions to Evaluators | _____/____ |
| <input type="checkbox"/> | 6. | Technical/Price or Cost Evaluation | _____/____ |
| <input type="checkbox"/> | 7. | Best and Final Offer | _____/____ |
| <input type="checkbox"/> | 8. | Cost & Pricing Data | _____/____ |
| <input type="checkbox"/> | 9. | Evaluator's Non-Disclosure and Conflict of Interest Statements | _____/____ |
| <input type="checkbox"/> | 10. | Miscellaneous | _____/____ |
| <input type="checkbox"/> | 11. | Other | _____/____ |

**OFFICE OF CONTRACTING AND PROCUREMENT
CONTRACT FILE INDEX**

PART III – NEGOTIATIONS

| In File | Attachment | Documentation | Date/Initial |
|--------------------------|-------------------|---|---------------------|
| <input type="checkbox"/> | 1. | Pre-Negotiation Objectives Memorandum (BCM) | _____/____ |
| <input type="checkbox"/> | 2. | Documentation on Discussions with Offeror | _____/____ |
| <input type="checkbox"/> | 3. | Post Negotiation Memorandum (BCM) | _____/____ |
| <input type="checkbox"/> | 4. | New Technology/Patents | _____/____ |
| <input type="checkbox"/> | 5. | Software License | _____/____ |
| <input type="checkbox"/> | 6. | Cost/Price Analysis | _____/____ |
| <input type="checkbox"/> | 7. | Price Negotiation | _____/____ |
| <input type="checkbox"/> | 8. | Miscellaneous | _____/____ |
| <input type="checkbox"/> | 9. | Other | _____/____ |

**OFFICE OF CONTRACTING AND PROCUREMENT
CONTRACT FILE INDEX**

PART IV – REVIEW AND APPROVAL

| In File | Attachment | Documentation | Date/Initial |
|--------------------------|-------------------|--|---------------------|
| <input type="checkbox"/> | 1. | OLBD/EEO Policy Statement | _____/____ |
| <input type="checkbox"/> | 2. | DOES Unemployment Compliance | _____/____ |
| <input type="checkbox"/> | 3. | DOES First Source Employment Agreement (FSEA) | _____/____ |
| <input type="checkbox"/> | 4. | Office of Tax/Revenue Compliance | _____/____ |
| <input type="checkbox"/> | 5. | Affirmative Action Approval | _____/____ |
| <input type="checkbox"/> | 6. | Determination of Responsibility | _____/____ |
| <input type="checkbox"/> | 7. | Validation of DC/Federal Website For Debarred or Suspended Contractors (Vendors) | _____/____ |
| <input type="checkbox"/> | 8. | Office of Attorney General Approval(s) | _____/____ |
| <input type="checkbox"/> | 9. | EOM Transmittal to the Council | _____/____ |
| <input type="checkbox"/> | 10. | Council Approval(s) | _____/____ |
| <input type="checkbox"/> | 11. | COTR Appointment Letter | _____/____ |
| <input type="checkbox"/> | 12. | Miscellaneous | _____/____ |
| <input type="checkbox"/> | 13. | Other | _____/____ |

**OFFICE OF CONTRACTING AND PROCUREMENT
CONTRACT FILE INDEX**

PART V – AWARD

| In File | Attachment | Documentation | Date/Initial |
|--------------------------|-------------------|--|---------------------|
| <input type="checkbox"/> | 1. | Notice of Award | _____/____ |
| <input type="checkbox"/> | 2. | Unsuccessful Offer Letters | _____/____ |
| <input type="checkbox"/> | 3. | Contract (Definitive/Letter Contract) | _____/____ |
| <input type="checkbox"/> | 4. | Contract Modification(s) | _____/____ |
| <input type="checkbox"/> | 5. | Post Award Conference | _____/____ |
| <input type="checkbox"/> | 6. | D&F for Price Reasonableness | _____/____ |
| <input type="checkbox"/> | 7. | D&F to Exercise Option | _____/____ |
| <input type="checkbox"/> | 8. | D&F for Cancellation/Negotiation with Responsible Bidders | _____/____ |
| <input type="checkbox"/> | 9. | D&F for Cancellation Before Award | _____/____ |
| <input type="checkbox"/> | 10. | Debriefing | _____/____ |
| <input type="checkbox"/> | 11. | Protests | _____/____ |
| <input type="checkbox"/> | 12. | Option Letter of Intent | _____/____ |
| <input type="checkbox"/> | 13. | Miscellaneous | _____/____ |
| <input type="checkbox"/> | 14. | Other | _____/____ |

**OFFICE OF CONTRACTING AND PROCUREMENT
CONTRACT FILE INDEX**

PART VI – POST AWARD CONTRACT ADMINISTRATION

| In File | Attachment | Documentation | Date/Initial |
|--------------------------|-------------------|---|---------------------|
| <input type="checkbox"/> | 1. | General Correspondence | _____/____ |
| <input type="checkbox"/> | 2. | Deliverable Reports | _____/____ |
| <input type="checkbox"/> | 3. | Contractors Past Performance Evaluation Form | _____/____ |
| <input type="checkbox"/> | 4. | Final Inspection/Acceptance Documentation | _____/____ |
| <input type="checkbox"/> | 5. | Novation/Change of Name Agreement | _____/____ |
| <input type="checkbox"/> | 6. | Assignment | _____/____ |
| <input type="checkbox"/> | 7. | Modifications | _____/____ |
| <input type="checkbox"/> | 8. | D&F for Exercise of Option | _____/____ |
| <input type="checkbox"/> | 9. | Task Orders | _____/____ |
| <input type="checkbox"/> | 10. | Change Orders | _____/____ |
| <input type="checkbox"/> | 11. | Contract Closeout Checklist | _____/____ |
| <input type="checkbox"/> | 12. | Miscellaneous Notes | _____/____ |
| <input type="checkbox"/> | 13. | Other | _____/____ |

I hereby certify that this contract file has been initialed and dated by the assigned contract specialist and is accurate and complete.

CONTRACTING OFFICER

DATE

OCPD 1101.00
Appendix C

***“Small Purchase Index”
Single or 2-Part***

**OFFICE OF CONTRACTING AND PROCUREMENT
SMALL PURCHASE INDEX
SMALL PURCHASE REQUIREMENTS**

| In File | Attachment | Documentation | Date/Initial |
|--------------------------|-------------------|---|---------------------|
| <input type="checkbox"/> | 1. | Statement of Work/Specification | _____/_____ |
| <input type="checkbox"/> | 2. | Requisition/Purchase Order Including History in PASS System (DO/TO) | _____/_____ |
| <input type="checkbox"/> | 3. | Contracting Officers Request for Quotation | _____/_____ |
| <input type="checkbox"/> | 4. | Vendor's Quote | _____/_____ |
| <input type="checkbox"/> | 5. | Abstract of Quotes | _____/_____ |
| <input type="checkbox"/> | 6. | Price Reasonableness Determination | _____/_____ |
| <input type="checkbox"/> | 7. | Determination and Findings (Sole Source) (\$10K and above) | _____/_____ |
| <input type="checkbox"/> | 8. | Modifications | _____/_____ |
| <input type="checkbox"/> | 9. | Options (optional) | _____/_____ |
| <input type="checkbox"/> | 10. | Milestones/Chronology | _____/_____ |
| <input type="checkbox"/> | 11. | Bidders Mailing List | _____/_____ |
| <input type="checkbox"/> | 12. | General Correspondence (optional) | _____/_____ |
| <input type="checkbox"/> | 13. | Facsimile | _____/_____ |
| <input type="checkbox"/> | 14. | Transmittal Letters to Vendor | _____/_____ |
| <input type="checkbox"/> | 15. | Purchase Card Deployment Files | _____/_____ |
| <input type="checkbox"/> | 16. | Travel Card Deployment Files | _____/_____ |
| <input type="checkbox"/> | 17. | Other | _____/_____ |

I hereby certify that this contract file has been initialed and dated by the assigned contract specialist and is accurate and complete.

CONTRACTING OFFICER

DATE

END OF DOCUMENT