



DEPARTMENT OF THE NAVY
OFFICE OF THE ASSISTANT SECRETARY
(RESEARCH, DEVELOPMENT AND ACQUISITION)
1000 NAVY PENTAGON
WASHINGTON DC 20350-1000

MAY 18, 2010

MEMORANDUM FOR DISTRIBUTION

Subject: DoD Standard for Certification of Contracting Officer's Representatives (COR) for Services Acquisitions

Many services essential to support the Department's mission are acquired under contract. Numerous reviews by the Government Accountability Office, the Department of Defense Inspector General and the Naval Audit Service, however, indicate that services contracts are not given proper oversight and surveillance. The DoD Panel on Contracting Integrity identified surveillance of services contracts as an area of vulnerability in the Defense contracting system that may lead to fraud, waste and abuse.

As indicated in the attached Under Secretary of Defense (Acquisition, Technology and Logistics) memorandum, DoD Standard for Certification of Contracting Officer's Representatives (COR) for Services Acquisitions, the Panel developed a DoD Standard which defines minimum COR competencies, experience, and training according to the nature and complexity of the requirement and contract performance risk and introduces new structure and rigor to performance of COR functions by delineating roles and responsibilities for the COR, COR management and the contracting officer. The contract categories are:

- Type A: fixed price, low performance risk requirements;
- Type B: other than fixed price, low performance risk requirements; and
- Type C: unique requirements that necessitate a professional license, higher education, or specialized training.

The matrix in the attached memorandum provides an overview of concepts of the DoD Standard. To prepare for DoD implementation of the Standard, I encourage everyone involved in the acquisition of services to consider these concepts when developing services requirements, soliciting proposals, and performing surveillance during contract performance.

A handwritten signature in black ink, appearing to read "David F. Baucom".

David F. Baucom
RDML, SC, USN
DASN(A&LM)

Attachments: As stated

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(COR) for Services Acquisitions

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MAR 29 2010

MEMORANDUM FOR SECRETARIES OF THE MILITARY DEPARTMENTS
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DIRECTORS OF THE DOD FIELD ACTIVITIES

**SUBJECT: DoD Standard for Certification of Contracting Officer's Representatives
(COR) for Service Acquisitions**

Section 813 of the National Defense Authorization Act for FY 2007 required the Department to establish a Panel on Contracting Integrity (Panel) to identify contracting vulnerabilities that may lead to fraud, waste, and abuse in the defense contracting system. The Panel identified surveillance of services acquisitions as an area of vulnerability.

The Panel's Sufficient Contract Surveillance subcommittee developed a DoD COR certification standard, which defines minimum COR competencies, experience, and training according to the nature and complexity of the requirement and contract performance risk. The standard identifies competencies, experience and minimum training needed for successful performance as a COR for:

- Type A: fixed-price, low performance risk requirements;
- Type B: other than fixed-price, low performance risk requirements, and
- Type C: unique requirements that necessitate a professional license, higher education, or specialized training (matrix at Attachment A).

The standard introduces structure and rigor to COR responsibilities and performance and will be the basis for a DoD Instruction setting forth a comprehensive

COR certification program that addresses roles and responsibilities for the COR, COR management, and the Contracting Officer consistent with the former Deputy Secretary of Defense memorandum (Attachment B).

The Defense Acquisition University (DAU), working with Panel representatives, developed baseline training from competencies identified in the standard. Component-sponsored and commercial training must be equivalent to the DAU baseline training for Type B and C work/requirements to meet the standard training requirements. Equivalency requirements are addressed at <http://icatalog.dau.mil/learning/equivalency.aspx>. Online training for Type B and C requirements is anticipated to be available in the 4th quarter of FY 2010 through the university. I encourage your current and prospective CORs to complete training as it becomes available.

Please disseminate this information as appropriate to prepare for Departmental implementation of the DoD Standard for Certification of Contracting Officer's Representatives for Services Acquisitions.

A handwritten signature in black ink, appearing to read "Ashton B. Carter". The signature is fluid and cursive, with the first name "Ashton" being the most prominent part.

Ashton B. Carter

Attachments:
As stated

ATTACHMENT

A

**DoD STANDARD FOR CERTIFICATION OF CONTRACTING OFFICER'S
REPRESENTATIVES FOR SERVICES ACQUISITIONS**

NATURE OF TYPE A WORK/REQUIREMENT	REQUIRED COMPETENCY TOPICS	REQUIRED COMPETENCIES	EXPERIENCE/TRAINING-REQUIREMENTS
<p>Fixed-price requirements without incentives, low performance risk. Attributes of such requirements might include: lack of technical or administrative complexity, no identifiable risk factors; limited requirement for technical expertise; low likelihood of modification; effort is a follow-on to an existing contract.</p> <p>COR duties/responsibilities are generally limited to minimal technical and/or administrative monitoring of the contract.</p>	<p>General:</p> <ul style="list-style-type: none"> ➤ Attention to Detail ➤ Decision Making ➤ Flexibility ➤ Oral and Written Communication ➤ Problem Solving/Reasoning ➤ Self-management/Initiative ➤ Teamwork <p>Technical:</p> <ul style="list-style-type: none"> ➤ Business Ethics ➤ Effective Communication of Contract Requirements ➤ Effective Contract Performance Management ➤ Effective COR Performance 	<p>Upon completion of mandatory training, COR should be able to perform at least the following competencies in a manner consistent with the nature of Type A work/requirements:</p> <ol style="list-style-type: none"> 1. Assist in acquisition planning. 2. Assist in contract award process. 3. Establish/maintain COR file with all required documentation. 4. Identify/prevent unethical conduct and instances of fraud/waste/abuse. 5. Perform technical/administrative monitoring and reporting duties in accordance with letter of delegation and surveillance plan. 6. Recommend/monitor proposed changes. 7. Monitor contract expenditures/payments 8. Monitor contract schedule compliance. 9. Perform liaison duties between the Contracting Officer, the Requiring Activity, and the contractor for management of the contract. 10. Inspect, accept or reject deliverables during contract performance and at close-out in conformance with contract terms and conditions. 11. Monitor the control/disposition of Government furnished assets. 12. Perform surveillance in a contingency environment, when applicable. 	<p>Experience:</p> <ul style="list-style-type: none"> ➤ Agency experience: minimum of 6 months (may be waived) ➤ Relevant technical experience: As determined by the nominating supervisor for the Contracting Officer's consideration and appointment ➤ General competencies: As determined by the nominating supervisor for the Contracting Officer's consideration and appointment. <p>Training:</p> <ul style="list-style-type: none"> ➤ DAU CLC 106, Contracting Officer's Representative (Basic) ➤ DAU COR XXX (to be determined), COR in the Contingency Environment, when applicable (competency 12) ➤ Minimum of 1 hour acquisition ethics training (e.g., CLM 003 or agency provided training) annually. ➤ Additional training mandated by the contracting activity (e.g., WAFW). <p>Refresher Training:</p> <ul style="list-style-type: none"> ➤ Minimum of 8 hours COR specific training: ➤ Every 3 years, OR ➤ Prior to assuming COR responsibilities if the individual has not served as a COR within the previous 24 months. ➤ Minimum of 1 hour acquisition ethics training (e.g., CLM 003 or agency provided training) annually. ➤ Any additional training mandated by the Activity.

**DoD STANDARD FOR CERTIFICATION OF CONTRACTING OFFICER'S
REPRESENTATIVES FOR SERVICES ACQUISITIONS**

NATURE OF TYPE B WORK/REQUIREMENT	REQUIRED COMPETENCY TOPICS	REQUIRED COMPETENCIES	EXPERIENCE/TRAINING REQUIREMENTS
<p>Fixed-price requirements without incentives, other than low performance risk. Attributes of such requirements might include: the nature of the work is more complex; effort will be performed in multiple regions/remote geographic locations, contract contains incentive arrangements or cost sharing provisions, contract is cost-type of T&M/LH type, or FP LOE.</p> <p>COR duties/responsibilities are of increased complexity.</p>	<p>General:</p> <ul style="list-style-type: none"> ➤ Attention to Detail ➤ Decision Making ➤ Flexibility ➤ Influencing/Persuasive interpersonal skills ➤ Oral and Written Communication ➤ Planning and Evaluating ➤ Problem Solving ➤ Reasoning ➤ Self-management/Initiative ➤ Teamwork <p>Technical:</p> <ul style="list-style-type: none"> ➤ Business Ethics ➤ Defining Government requirements ➤ Understanding and knowledge of contract type ➤ Effective analytic skills ➤ Effective Communication of Contract Requirements ➤ Effective Contract Performance Management ➤ Effective COR Performance ➤ Project Management ➤ Strategic Planning ➤ Understanding the Marketplace 	<p>Upon completion of mandatory training, COR should be able to perform at least the following competencies in a manner consistent with the nature of Type B work/requirements:</p> <ol style="list-style-type: none"> 1. Assist in acquisition planning. 2. Assist in contract award process. 3. Establish/maintain COR file with all required documentation. 4. Identify/prevent unethical conduct and instances of fraud/waste/abuse. 5. Review technical submittals/ensure compliance with Statement of Work/Statement of Objectives (e.g., perform technical monitoring and reporting in accordance with a Quality Surveillance Plan) 6. Perform administrative monitoring and reporting duties (e.g., handle security issues, attend meetings, etc.) 7. Recommend/monitor proposed changes. 8. Monitor contract expenditures/payments. 9. Monitor contract schedule compliance. 10. Perform liaison duties between the Contracting Officer and the contractor for management of the contract. 11. Inspect, accept or reject deliverables during contract performance and at close-out in conformance with contract terms and conditions. 12. Review and validate that contractor payment requests are commensurate with performance. 13. Monitor control/disposition of Government furnished assets. 14. Perform surveillance in a contingency environment, when applicable 	<p>Experience:</p> <ul style="list-style-type: none"> ➤ Agency experience: minimum of 12 months (may be waived by the requiring activity. Waiver to be addressed in nomination package) ➤ Relevant technical experience: As determined by the nominating supervisor for the Contracting Officer's consideration and appointment ➤ General competencies: As determined by the nominating supervisor for the Contracting Officer's consideration and appointment. <p>Training:</p> <ul style="list-style-type: none"> ➤ DAU COR 222 or ALMC-CL or equivalent course ➤ DAU COR XXX (to be determined), COR in a Contingency Environment, when applicable (competency 14) ➤ Minimum of 1 hour acquisition ethics training (e.g., DAU CLM 003 or agency provided training) annually. ➤ Additional training mandated by the Contracting activity (e.g., WAWF). <p>Refresher Training:</p> <ul style="list-style-type: none"> ➤ Minimum of 16 hours COR specific training: <ul style="list-style-type: none"> • Every 3 years, OR • Prior to assuming COR responsibilities if the individual has not served as a COR within the previous 24 months ➤ Minimum of 1 hour acquisition ethics training (e.g., DAU CLM 003 or agency provided training) annually ➤ Any additional training mandated by the Activity

**DoD STANDARD FOR CERTIFICATION OF CONTRACTING OFFICER'S
REPRESENTATIVES FOR SERVICES ACQUISITIONS**

NATURE OF TYPE C WORK/REQUIREMENT	REQUIRED COMPETENCY TOPICS	REQUIRED COMPETENCIES	EXPERIENCE/TRAINING REQUIREMENTS
<p>Unique contract requirements that necessitate a professional license, higher education or specialized training beyond the Type B requirements.</p> <p>Such requirements might include, for example, environmental remediation; major weapons systems; medical/dental/ veterinarian services, etc.</p> <p>COR duties/responsibilities are of increased complexity.</p>	<p>General:</p> <ul style="list-style-type: none"> ➤ Attention to Detail ➤ Decision Making ➤ Flexibility ➤ Influencing/Persuasive interpersonal skills ➤ Oral and Written Communication ➤ Planning and Evaluating ➤ Problem Solving ➤ Reasoning ➤ Self-management/Initiative ➤ Teamwork <p>Technical:</p> <ul style="list-style-type: none"> ➤ Business Ethics ➤ Defining Government requirements ➤ Understanding and knowledge of contract type ➤ Effective analytic skills ➤ Effective Communication of Contract Requirements ➤ Effective Contract Performance Management ➤ Effective COR Performance ➤ Project Management ➤ Strategic Planning ➤ Understanding the Marketplace 	<p>Upon completion of mandatory training, COR should be able to perform at least the following competencies in a manner consistent with the nature of Type C work/requirements:</p> <ol style="list-style-type: none"> 1. Assist in acquisition planning. 2. Assist in contract award process. 3. Establish/maintain COR file with all required documentation. 4. Identify/prevent unethical conduct and instances of fraud/waste/abuse. 5. Review technical submittals/ensure compliance with Statement of Work/Statement of Objectives (e.g., perform technical monitoring and reporting in accordance with a Quality Surveillance Plan) 6. Perform administrative monitoring and reporting duties (e.g., handle security issues, attend meetings, etc.) 7. Recommend/monitor proposed changes. 8. Monitor contract expenditures. 9. Monitor contract schedule compliance. 10. Perform liaison duties between the Contracting Officer and the contractor for management of the contract. 11. Inspect, accept or reject deliverables during contract performance and at close-out in conformance with contract terms and conditions. 12. Review and validate that contractor payment requests are commensurate with performance. 13. Monitor control/disposition of Government furnished assets. 14. Perform surveillance in a contingency environment, when applicable. 15. Other specific functions consistent with the objectives of the Activity's mandatory specialized/technical training. 	<p>Experience:</p> <ul style="list-style-type: none"> ➤ Agency experience: minimum of 12 months (may be waived by the requiring activity. Waiver to be addressed in nomination package) ➤ Relevant technical experience: As determined by the nominating supervisor for the Contracting Officer's consideration and appointment ➤ General competencies: As determined by the nominating supervisor for the Contracting Officer's consideration and appointment. <p>Training:</p> <ul style="list-style-type: none"> ➤ DAU COR 222 or ALMC-CL or equivalent course ➤ DAU COR XXX (to be determined), COR in the Contingency Environment, when applicable (competency 14) ➤ Minimum of 1 hour acquisition ethics training (e.g., DAU CLM 003 or agency provided training) annually. ➤ Additional training mandated by the contracting activity (e.g., WAWF). <p>Refresher Training:</p> <ul style="list-style-type: none"> ➤ Minimum of 16 hours COR specific training: <ul style="list-style-type: none"> • Every 3 years, OR • Prior to assuming COR responsibilities if the individual has not served as a COR within the previous 24 months. ➤ Minimum of 1 hour acquisition ethics training (e.g., DAU CLM 003 or agency provided training) annually ➤ Any additional training mandated by the Activity. ➤ Any necessary for maintenance of license/certification/etc.

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DEPUTY SECRETARY OF DEFENSE
1010 DEFENSE PENTAGON
WASHINGTON, DC 20301-1010

AUG 22 2008

MEMORANDUM FOR: SEE DISTRIBUTION

SUBJECT: Monitoring Contract Performance in Contracts for Services

Section 813 of the John Warner National Defense Authorization Act for FY 2007 (Pub. L. 109-364), directed the Secretary to establish a "Panel on Contracting Integrity." The DoD Panel on Contracting Integrity identified inadequate surveillance of contracts for services as an area of vulnerability that may lead to fraud, waste, and abuse. The panel recommended several measures to ensure sufficient contract surveillance.

The acquisition of services is a useful method to assist the Department in meeting its mission with agility, but contracts for services require effective surveillance. Trained and ready Contracting Officer's Representatives (CORs) are critical. They ensure that contractors comply with all contract requirements and that overall performance is commensurate with the level of payments made throughout the life of the contract. COR activities should be tailored to the dollar value and complexity of the specific service contract.

Requiring activities shall comply with the attached guidance to ensure that properly trained and ready CORs are assigned prior to contract award. Raters will evaluate the performance of COR duties as part of their performance assessments throughout the period of the contract. The provisions of this memorandum will be incorporated in a forthcoming Department of Defense Federal Acquisition Regulation Supplement regulation in FY 2009.

Attachment:
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OSD 10852-08



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REQUIRING ACTIVITY RESPONSIBILITIES FOR CONTRACT SURVEILLANCE OF SERVICE CONTRACTS

The activity responsible for technical requirements (the "requiring activity") is responsible for prescribing contract quality requirements. The Contracting Officer's Representative (COR) is a representative of the requiring activity, nominated by the requiring activity, and designated by the contracting officer, to assist in the technical monitoring or administration of a contract. The COR should be identified early in the acquisition cycle and included in pre-award activities when appropriate.

When a COR is required, the contracting officer will provide to the requiring activity a list of proposed responsibilities for the COR. The requiring activity must submit nominations for CORs to the contracting activity. Where practicable, the requiring activity shall provide the COR nomination to the contracting office as part of the purchase request. The COR nomination package shall:

- Address the qualifications of the prospective COR.
- Affirm that the COR will be afforded necessary resources (time, supplies, equipments, opportunity) to perform the designated functions.
- Affirm that the prospective COR and the prospective COR supervisors understand the importance of performance of the designated functions.
- Affirm that performance of the designated functions will be addressed as part of the COR's performance assessments. COR supervisors are encouraged to solicit input on performance of COR duties from the contracting officer.
- Comply with these provisions in the assignment of successor CORs.

CORs must be designated and trained prior to contract award.

Attachment